NEW YORK STATE

BOARD OF ELECTIONS

HANDBOOK OF INSTRUCTIONS

FOR

CAMPAIGN FINANCIAL DISCLOSURE

2007

CF- 17
03/07

INTRODUCTION

Welcome to the New York State Board of Election's *Handbook of Instructions for Campaign Financial Disclosure*. This handbook contains all necessary information and instructions to enable candidates and committees to comply with the financial disclosure requirements in Article 14 of the New York State Election Law and in Part 6200 of the Board's Rules and Regulations.

Committees or candidates that are required to file disclosure statements with the State Board of Elections must file all such statements electronically if they raise or spend or expect to raise or spend more than $1,000 in any calendar year. The $1,000 relates to receipts or expenditures in the calendar year, not the ending cash balance. The ending cash balance is irrelevant.

The New York State Election Law has been amended effective January 1, 2006 to require candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than $1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. The new law does not apply to candidates or committees that are required to make their filings with a village clerk. However, if the village election is conducted by the county, candidates/committees for such village offices must file with the county Board of Elections. If their receipts or expenditures exceed $1,000 or they expect that they will do so, then they must also register and file with the State Board of Elections.

All forms and the computer software necessary to comply with this requirement, as well as installation and use instructions, are available at the State Board's website at www.elections.state.ny.us . All forms are also available from your local board of elections.

If you do not have access to the internet, you may request forms and/or the software on CD by calling the Campaign Finance Unit at 518-474-8200 or 1-800-458-3453. If you have **technical questions** concerning installation and/or use of the electronic filing software, you may call (518) 473-4803 or send e-mail inquiries to efshelp@elections.state.ny.us .

Please be aware that you must use the forms and electronic filing format prescribed by the State Board. If you want to use supplemental schedules or a different format, you must obtain prior written approval from the State Board.

This handbook of instructions is intended to be a useful guide for both electronic and paper filers. If you have any problems or questions that are not resolved by reading this handbook, you may call us at 1-800-458-3453 or (518) 474-8200.

Finally, the State Board has issued formal opinions periodically concerning financial disclosure and other Election Law questions. You can obtain these opinions and other helpful information concerning the Election Law by visiting the Board's web site, at **www.elections.state.ny.us**

ELECTRONIC FILING

Filing Electronically with the New York State Board of Elections

Filers must file electronically either by diskette or e-mail. It is important to make sure you are using the most recent version of the NYSBOE EFS Software. At this printing, the most recent version is EFS v4.0.

You can obtain the latest version of the EFS software under the Campaign Finance heading at the Board's web address: http://www.elections.state.ny.us

Click on "Downloads" and then on the the link that says Electronic Filing Software. If your browser gives you the choice of **Open or Save,** you can select Open and follow the installation instructions. If your browser only gives you the **Save** option, you can save the setup files to your hard drive. Then use your Windows Explorer to locate and run the setup.exe file in the directory where you saved the software. If you do not have access to the Internet, you can call (518) 474-8200 or 1-800-458-3453 to request the software on CD. If the CD does not start automatically when inserted, use Windows Explorer to locate and run the setup.exe file located on the CD.

For help with technical questions related to the EFS software you can contact the Information Technology Help Desk at (518) 473-4803, 1-800-458-3453 and ask to be transferred to the I. T. Help Desk or contact the Help Desk by email at efshelp@elections.state.ny.us. The user guide is also available from the web address listed above, as well as from the Help menu in the EFS v4.0 software.

Technical Information on Electronic Filing

Before a filing can be accepted by the State Board, a filer must be assigned a Filer Identification Number (Filer ID) and Personal Identification Number (PIN). It is critical that you do not use our software to prepare a report for filing, before you receive a Filer ID and PIN from the State Board. Doing so will result in the filer having to re-enter all data in the report, as reports prepared without a correct Filer ID/PIN can not be uploaded into the database. PIN use is mandatory to authenticate your filing.

In order to receive your Filer ID/PIN, you must register with the State Board by filing a CF-02 (The Committee Designation of Treasurer and Depository), a CF-03 (Committee Statement of Authorization or Non-Authorization by Candidates), and a CF-16 (Candidate Committee Authorization and Non-Expenditure Statement), as the case may be. These forms all require original signatures and form CF-03 and CF-16 need to be notarized.

Submission of Filings

Electronic filings can be submitted to the State Board via the following:

On a diskette via mail to:	NYS Board of Elections 40 Steuben Street Albany, New York 12207 Attn: Campaign Finance Unit
As an e-mail attachment to:	efsfiling@elections.state.ny.us

To file by e-mail you simply need to do the following:

1. From within the EFSv4.0 software you select [File > File Disclosure Statement] from the drop down menu and follow the prompts for saving your filing to disk.
2. Select [File > Send Statement by Email. This will launch your default email program.
3. Attach your file created in step1 to the email.
4. Send your email with attached file.

Alternatively, after completing step 1, you can just open your email program, attach the file, and send it to efsfiling@elections.state.ny.us.

Whichever way you choose to mail your filing make sure you ATTACH your file.

Initial Electronic Filing Requirement with the State Board of Elections for Active Local Filers:

The New York State Election Law now requires candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than $1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. This requirement does not apply to candidates or committees that are required to make their filings with a village clerk. However, if the village election is conducted by the county, candidates/committees for such village offices must file with the county Board of Elections. If their receipts or expenditures exceed $1,000 or they expect that they will do so, then they must also register and file with the State Board of Elections.

Active local filers who also become obligated to file electronically with the State Board of Elections under the new law, because they have raised or expended more than $1,000 in 2005, 2006, or have, or expect to raise or expend more than $1,000 in 2007, must comply with the following:

The ending cash balance on your most recent filing with the local board prior to your first electronic filing with the State Board must be properly carried forward on that first electronic filing. Therefore, local filers are required to do a one time entry on Schedule G (Transfers-In) on their first electronic filing to carry forward this applicable ending cash balance as follows:

- **Date** - Use the cut off date of this filing you are preparing now as your first filing for the State. (e.g. 01/11/07 is the cut off date for January 15, 2007 Periodic filing.)

- **Transfer Type** - Use type 2 (Committee solely supporting same candidate).

- **Name** - Treasurers will list their committee name. Candidates filing their own report will list their name.

- **Amount** - record the ending cash balance from your last paper report you filed with the local board of elections. (i.e., the ending cash balance of the report prior to this filing that you are preparing now.)

After you transmit your filing, check our website to verify that the data and the ending cash balance is correct.

Active local filers who trigger the obligation to file electronically with the State Board of Elections in 2007 should follow all of the requirements listed above.

Future Filings

You are required to continue to file your reports in electronic format with the State Board and in paper or electronic format, as the case may be, with the county board of elections until you terminate your filing with both the State Board and County Board of Elections. This includes all applicable election reports as well as all January and July Periodic reports. The process for termination can be found on our website.

The State Board assumes that all active committees are supporting or opposing candidates for election and therefore, we will expect to receive election reports from them (3 primary election reports and/or 3 general election reports), unless we are notified otherwise. If a committee is not going to actively support or oppose candidates in a particular election, it may notify the State Board by filing a Notice of Inactive Status (CF-20). This form may be filed on paper or via our website under Campaign Finance. The CF-20 requires an original signature, if filing on paper. If filing online, you are required to use your ID# and PIN.

Electronic Filing Exemption

An exemption from the electronic filing requirement is available to filers that meet both of the following criteria:

Filers who do not have access to the technology necessary to comply with the electronic filing requirement and that filing by such means would constitute a substantial hardship to comply, may submit an Application for Electronic Filing Exemption (CF-19) with the State Board, at least 30 days prior to the filing.

NOTE: For purposes of granting an exemption to the electronic financial disclosure requirements of Article 14 of the Election Law, the following definitions apply:

"Access to the technology" is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements.

"Substantial hardship" is defined as the financial inability of the candidate/committee to purchase and/or acquire access to the technology necessary to comply with the electronic financial filing requirements.

The exemption is generally valid until December 31 of the calendar year for which it is granted and the filer is obligated to inform the State Board of any change in circumstances which would disqualify the committee/candidate from the exemption for electronic filing. The State Board may revoke the exemption at any time.

NOTE: An exemption from electronic filing does not exempt the filer from having to file at all. The filer must still file all reports on paper using the appropriate CF-01 "Disclosure Statement."

Filers must also register with the State Board prior to requesting an exemption.

On-line Filing Options/Verification Statement (CF-18)

Filers have the option of filing No-Activity Reports, In-Lieu-Of Statements, 24 Hour Notices, and Notice of In-Active Status directly at the Board's web site through the use of their Filer ID and PIN. (See pages 4 & 5 for "In-Lieu-Of Statements," page 7 for "24 Hour Notices" and page 64 for "Notice of In-Active Status"). To do so, go to the Board's website www.elections.state.ny.us and link to Campaign Finance then follow the step by step instructions.

A paper Verification Statement (CF-18) must be filed by mail when filing Termination, Resignation and No-Activity Reports, whether such reports were filed via diskette, e-mail or the State Board's website (e.g., In-Lieu of Statements).

The following 3 pages are the Electronic Filing Software Quick Reference Guide to electronic filing:

ELECTRONIC FILING SOFTWARE QUICK REFERENCE GUIDE

Downloading & Installing the Electronic Filing Software

Go to our website at: www.elections.state.ny.us
Click on the "Campaign Finance" tab, then click on "Downloads."
Under "Electronic Filing Software and User Guide" Click on:
"Download latest Version 4.0 of NYSBOE Electronic Filing System Software"

Box will ask if you want to run or save

- if dial-up connection to internet, choose save (to desktop or elsewhere). After saving (can take up to 1 hour) double-click on the "setup.exe" file to launch installation. If saving of setup file fails, please call the help desk to request an installation disk be mailed.
- if high-speed connection to internet, choose run

During install, accept all default settings, clicking [next] when prompted.

Upon successful installation, the EFS User Guide will open in a .pdf document; please print for your usage.

To Begin Using the Electronic Filing Program

1. Double click the Electronic Filing Program icon on your desktop (looks like a Romanesque building with a lit torch.)
2. Click the [BEGIN SESSION] button.
3. Enter your initials and click OK or enter. You will now be in the main screen (NYS Board of Elections Disclosure Filing Software Version 4.0).

Creating your master record (completing the grey filer information section.)

1. Click in the very beginning of the ID Number field and enter your six character Filer ID Number that was assigned to you by the New York State Board of Elections (e.g. A12345 or C12345).
2. Tab over to the Committee or Candidate Name field and type in whichever is applicable.
3. For State office, fill in Office, District and Type fields. For County office, leave Office, District and Type fields blank by tabbing through to Treasurer information.
4. After entering the Treasurer and Depository information, click the Post-Edit button (✓). A pop up box will appear to enter your PIN (Personal Identification Number).
5. Enter the 8-digit PIN that was assigned with your Filer ID Number then click OK. Now your master record has been saved and you are ready to add the period and schedules.

Creating a Filing Period and Schedules

1. On the menu bar located at the very top of the screen, click [Inventory Maintenance].
2. Click [Add Periods/Schedules]. A reddish-brown Inventory Maintenance box will appear on mid-left part of screen.
3. Click on the downward arrow to select "Year Filing Due" and select appropriate year on the drop down box. A note will appear explaining how to properly choose the filing year. If need be, go back and choose the correct filing year. Read the note, click OK.

4. Tab to the “Filing Period” field, click the downward arrow and choose appropriate filing period and click.
5. Tab to the “Schedule” field, click the downward arrow and select the applicable schedule for your transactions. To save each schedule you created, you need to click on the Post-Edit button (✓) after adding each schedule. The schedules you created will appear in the upper right side of the screen (white and blue box).
6. Once you have entered all your schedules, click the [Exit] button <u>inside</u> the Inventory Maintenance Screen so that you can start entering data in your schedules.

<u>Entering Schedule Data</u>

1. In the Filing Inventory Section, **<u>double click</u>** on the year, period and schedule you want to enter transactions for.
2. You should now see an asterisk next to the Date field in the transaction (green) section which indicates that you can start entering transactions (if not, repeat step 1). Enter the date manually (MM/DD/YYYY) or double click on the Date field to show the Date Selection Calendar. Double click on the date you need and the date will be placed in the date field. Tab to the next field. (HELPFUL HINT: It is easier to manually type in the date)
3. Fill in each field with the required information by tabbing. All fields are required to be filled in.
4. NOTE: If you have a transaction to enter with a name you previously used, you can double click on the Name field and a box will appear. Enter the name you are searching for <u>between</u> the percentage signs. Click OK. Double click on the name you want to enter and it should appear in the Name field. Fill in remaining fields.
5. HELPFUL HINT: Should you <u>accidently</u> double click on the Name field, but did not intend on searching for a previously used name, click on cancel in the Input Box.
6. When you are finished entering the last field of the transaction, you can either tab to the next line if you have more transactions to enter, which will automatically save the previous transaction, or click on the Post-Edit button (✓) to save the transaction.

<u>Filing your Disclosure Statement</u>

1. Select any schedule for that particular Filing Year and Period you want from the Filing Inventory that appears on your screen.
2. On the menu bar, click [File].
3. Then click [File Disclosure Statement].
4. Read the Legal Notice and click OK.
5. Select filing type: <u>standard</u> for original filing, <u>amendment</u> for amended filing. Click OK.
6. Select Filing Period; click OK.
7. Verify that the default filing year is correct; click OK.
8. Verify that the Filer ID is correct; click OK.
9. Now you’ll be prompted to insert a floppy disk. If you do not have one or prefer to save to your hard drive, click ok anyway. Another box will appear to ask you to insert the floppy disk. Click cancel and save disclosure statement to an area that is easily retrievable (e.g. C drive) . DO NOT alter the file name that the program gives to your filing; click save. In the transaction section you will see a box showing how many records were exported and to where they were saved. The number exported should always be greater than zero.

To SubmitYour Filing to the NYS Board of Elections

Email Filings:

The file that was created during the saving process now needs to be attached to an email and sent to us.

- If your email program is set as the default email, such as Outlook or Outlook Express, you can click on [File] from the menu bar then select [Send Statement by Email]. This will open a blank message with our address in the "To" field, attach file and hit send.
- If your email is not set up as the default, then log into your email as you normally would then bring up a blank message. In the "To" field enter our address, efsfiling@elections.state.ny.us and in the "subject" field enter "efs filing" then attach your file and send.

Diskette:

After we have received and successfully uploaded your filing, your reports will be viewable on our web site.

- Save your filing onto a floppy diskette.
- Place it in a secure diskette mailer and mail to:
  NYS Board of Elections
  Campaign Finance Unit
  40 Steuben Street
  Albany, NY 12207
- Be sure to label your diskette with Filer ID Number, Committee Name and the year and type of report.
- You should always go to our website to confirm that your report was received and the information and balance that appears correctly reflects the information in your records.

To Check Your Reports On Our Web Site

- Go to www.elections.state.ny.us
- Click on the "disclosure reports" link under Campaign Finance.
- On the right of the screen, under Query the Database, click on "view committee by name"
- Input one unique word of the name of your committee.
- Click submit query.
- Click on your Filer ID Number. You'll then see what reports we've received from you. Click on the one(s) you'd like to view.

To Add Additional Committee

1. Highlight original existing Filer ID number with mouse.
2. Click the New Record button (+). The Filer section will now go blank.
3. Follow steps for "Creating your Master record" to add additional committee record.

NOTE: For filers with multiple committees, Filer ID's are stored in the program by alpha numeric. When you log into the software the next time, it will default to the lowest alpha numeric number. Double click in the Filer ID field and a drop down list will appear. Choose the Filer ID number you want to access and enter the pin number for that Filer ID.

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SECTION ONE -Financial Disclosure Requirements

I. Explanations/Glossary

To begin your understanding of the disclosure requirements it is important to know some key definitions.

Candidate means any individual who seeks to be nominated or elected to public office or party position. An individual shall be deemed to be a candidate if (1) action was taken to qualify for nomination or election or (2) monies were raised or expended by the individual or any agent in order to bring about such nomination or election to such office or position, whether the candidate is/was on the ballot or not.

Political Committee means any combination of one or more persons that raises and spends money to advocate the success or defeat of any ballot proposal or any candidate for election or nomination to public office or party position. Authorized and Unauthorized single or Multi-candidate committees, PACs, Constituted Committees, Duly constituted sub-committees of county committees, and Party Committees, as defined below, are all political committees.

Authorized single or Multi-candidate committees are committees that are specifically authorized by one candidate or a group of candidates to raise and spend money on their behalf for their election. Authorization occurs when the candidate(s) has affirmatively acknowledged that the committee will act on his or her behalf.

Unauthorized single or Multi-candidate committees are committees that are **<u>not</u>** specifically authorized by one candidate or a group of candidates to raise and spend money on their behalf for their election.

Political Action Committee (PAC) although not defined in the New York State Election Law, a PAC is considered to be **any political committee that supports candidates or other political committees by making contributions only; i.e., PAC's do not make direct expenditures on behalf of Candidates.**

Constituted Committee is a <u>state</u> party committee or a <u>county</u> party committee wherein the committee members are elected to their position.

Duly constituted sub-committee of a county committee means, outside the city of New York, a city, town or village committee, which consists of all county committee members from that city, town or village as the case may be, and only such members. Within the City of New York, an Assembly district committee, which consists of all county committee members from that Assembly district, and only such members.

Party Committee is any committee (state or county) provided for in the rules of the political party other than a Constituted committee (committee members are generally appointed).

Housekeeping Expenditures are expenditures made by a Party or Constituted committee to maintain a permanent party headquarters and staff and carry on ordinary party activities not promoting the candidacy of specific candidates.

Note: Funds initially raised for campaign activity may then be used for housekeeping expenses. However, funds initially raised for housekeeping expenses may NOT then be used for specific candidate expenses.

Contribution

(1) Any gift, subscription, outstanding loan, advance, or deposit of money or anything of value, made in connection with the nomination or election of any candidate, or made to promote the success or defeat of a political party or principle, or of any ballot proposal.

(2) Any funds received by a political committee from another political committee to the extent such funds do not constitute a transfer (see definition of transfer, below).

(3) Any payment, by any person other than a candidate or a political committee authorized by the candidate, made in connection with the nomination or election of that candidate. This includes but is not limited to the compensation for personal services of an individual which are rendered without charge in support of the candidate's nomination or election. None of the foregoing shall be deemed a contribution if it is made or performed by a candidate or spouse or by an individual or political committee INDEPENDENT of the candidate and the candidate's agents or authorized political committee.

NOTE: "independent" means that the candidate, his/her agent or authorized political committee, did not authorize, request, suggest, foster or cooperate in any such activity.

Itemized/Unitemized Contributions – Whenever any contributor makes a contribution to a campaign, the name, address, date, check number, and amount must be detailed on one of the contribution schedules, unless the contributor has not exceeded $99.00 for the campaign. In that case, simply **include the amount of the contribution in the unitemized total section of the schedule.** If at any point in the campaign, the contributor's aggregate contributions exceeds $99.00, the contributions must be itemized.

The following **ARE NOT** contributions:

✔ **Volunteer Services**- the value of services provided without compensation by individuals who volunteer all or a portion of their time on behalf of a candidate or political committee.

✔ **House Parties**- the use of real or personal property and the cost of invitations, food and beverages voluntarily provided by an individual to a candidate, <u>on the individual's personal residential premises</u>, for candidate-related activities, to the extent such services do not exceed five hundred dollars in value. If such expenses do exceed five hundred dollars in value, the entire amount is a contribution.

✔ **Travel**- the travel expenses of any individual who on his/her own behalf, volunteers his/her personal services to any candidate or political committee to the extent such services are not reimbursed and do not exceed five hundred dollars in value.

Transfer - the exchange of funds or anything of value between a Party or Constituted committee and a candidate or any of his/her authorized committees (e.g. Type 1 transfer - NYS Republican State Comm to Friends of Smith or vice versa) OR two committees SOLELY supporting the same candidate (e.g. Type 2 transfer - Friends of Vincent Smith to Citizens for Vincent Smith). Transfers are not contributions and are not subject to contribution limits.

Itemized/Unitemized Expenditures - Whenever any **individual** expenditure exceeds $49.99, you must provide on Schedule F the date, check number, name and address of the payee, the amount and purpose. For expenditures less than $50.00, you would simply include the amount in the unitemized expenditure total box on Schedule F. Whenever you write a check for several expenditures originally made by an individual or by a charge to your credit card, you must disclose the detail for each expenditure that was over $49.99 as previously mentioned. **This can be done as memo entries on the schedule or in an attachment.** (See Schedule F instructions pages 40-44)

Filer Identification Number - The State Board of Elections and some local boards of elections assign ID numbers to candidates and committees. Any time you file anything with a board, you must ensure that the ID number (if one was assigned by that board), is on the document being filed.

Personal Identification Number (PIN) - State filers receive a **PIN** upon registering with the State Board by filing a Committee Designation of Treasurer and Depository (CF-02) (See pages 19, 22, and 23). This number acts as the electronic signature on filings made with State Board. Use of the PIN is mandatory.

II. What must be filed?

All candidates and political committees are required to file statements which disclose their receipts and disbursements in connection with their support or opposition to candidates or ballot proposals.

A. Candidates

Candidates are required to file Financial Disclosure Statements CF-01 unless:

1) they have an authorized committee registered with the Board of Elections which files reports disclosing the candidate's campaign financial activities, and

2) the candidate is not raising or spending money themselves except through their authorized committee.

Candidates that are required to file must file either an Itemized report, In-Lieu-Of Statement, or No-Activity Statement for each filing period. You qualify to file an In-Lieu-Of Statement if you are a candidate and at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of the campaign have exceeded $1,000. Once you have exceeded this $1,000 threshold, you must file a fully itemized report unless there is no activity to report for the specific reporting period. In this case, if you are a state filer, you should file a "Verification Statement" (Form CF-18) marking the box "No-Activity" or file a "No-Activity Statement" on-line and a paper copy with an original signature. Local filers who do not have activity to report for a reporting period should file a fully completed cover page together with both the summary and status pages of form CF-01.

Candidates who have an authorized committee, and who do not raise or spend money themselves (except through the committee), must file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16). This statement names the candidate's authorized committee that will file the financial disclosure statements on the candidate's behalf. The committee must file the Committee Designation of Treasurer and Depository (CF-02) and Committee Statement of Authorization or Non-Authorization by Candidates (CF-03). If the named treasurer does not file these documents (CF-02 & CF-03) which indicate that he/she has accepted the responsibility for filing the financial reports, then that responsibility remains with the candidate.

Note: a.) Local candidates who must make their own filings and who raise or spend or expect to raise or spend over $1,000, must contact the State Board of Elections to obtain their Filer ID and PIN in order to file with the State Board of Elections. b.) Candidates are obligated to disclose campaign related receipts and expenditures regardless of whether they are successful in getting on the ballot. c.) This reporting obligation also applies to candidates who self fund/finance their campaign. d.) If a candidate raises or spends money in an attempt to be on a ballot, but does not appear on the ballot, all receipts and disbursements in connection with that attempt must be disclosed in the **next periodic report**. The candidate must then continue to file until they complete the termination procedure as outlined on Page 9- Termination of Filing Obligation

B. **Committees**

Committees must file the following forms to register and fulfill their financial disclosure obligations:

1. <u>Committee Designation of Treasurer and Depository (CF-02)</u>
   This form is used to register a committee.
   <u>Exemption:</u> This form is not required to be filed by a Constituted Committee. (See page 1 for definition.)

2. <u>Committee Statement of Authorization/Non-Authorization By Candidates (CF-03)</u>
   This form must be filed by any political committee that is supporting or opposing

the nomination or election of any candidate through direct expenditure. It is used to indicate whether or not a candidate has authorized a committee to aid or take part in his/her nomination or election.

Exemption: This form is not required to be filed by a committee that only makes contributions. (e.g. PACs)

3. Financial Disclosure Statements CF-01 (Itemized or In-Lieu-Of)

   Committees are required to file either an Itemized Report, an In-Lieu-Of Statement, or a No-Activity Statement for each filing period. You qualify to file an In-Lieu-of Statement if you are the Treasurer of an authorized committee that supports a single candidate and at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of the campaign have exceeded $1,000. Once you have exceeded this $1,000 threshold, you must file a fully itemized report, unless there is no activity to report for the specific reporting period. For state filers, if there is no-activity to report during a reporting period, you should file a "Verification Statement" (Form CF-18) marking the box "No-Activity" or file a "No-Activity Statement" on-line. Local filers who do not have activity to report for a reporting period should file a fully completed cover page, together with the summary and status pages from the CF-01.

4. The Verification Statement (CF-18)

   A Verification Statement is only required to be filed when submitting termination, resignation or no-activity reports. Filers have the option of filing no-activity reports directly at the Board's website through use of their PIN thereby eliminating the need to file the paper Verification Statement. Termination and treasurer resignation reports must still be accompanied by a signed paper Verification Statement.

C. **PACs**

All PACs must file the Committee Designation of Treasurer and Depository (CF-02) and Financial Disclosure Statements (CF-01). PACs do not file the Committee Statement of Authorization or Non-Authorization by Candidates (CF-03). All PAC's must file a Verification Statement when required. (See #4, above.)

NOTE:

Filers that had no transactions for the report period can either file a Verification Statement (CF-18) checking the "No-Activity" box or file a "No-Activity" report through use of their PIN directly at the Board's website. Paper filers that had no transactions will complete the Summary page showing zeros for receipts and disbursements.

Paper filers that had no transactions to report will submit the Cover page and Summary page which will show the same beginning and ending balance. Any committee that will not, in any way, support or oppose a candidate or issue on the ballot for a particular election will not have to file any reports for that election. They must, however, inform the Board by filing the Notice of Inactive Status (CF-20).

D. **Additional Documentation**

Copies of documents evidencing loans received or forgiven and debts forgiven must be submitted with the report covering the period in which the transaction occurred.

Copies of campaign material must be submitted with the Post Election report. This includes brochures, palm cards, circulars, radio or TV scripts, schedules of broadcasts, letterheads, pamphlets, or other printed materials. Photos may be submitted in lieu of actual items.

Any **contribution or loan** which **exceeds** $1,000.00, and which is received after the cut-off date for filing the 11 day Pre-Election report but before Election Day, must be reported within 24 hours of receipt. This notification must be in writing, but may be faxed to the appropriate Board. The State Board fax number is (518) 486-6627. You must contact local boards for their fax numbers. *Note: State Board filers now have the option of filing these "24 Hour Notices" via the Board's website www.elections.state.ny.us through use of their **PIN**.* **Any contribution/loan for which you sent a 24 hour notice must also be disclosed in the Post-Election report.**

III. When Are Reports Filed?

A. **Periodic Reports** -These reports are filed on January 15 and July 15 each year.
All committees must file Periodic Reports

B. **Election Reports** - There are three election reports filed in connection with each Primary, General, or Special Election. These are due at the following times:

- ✔ 32 Day Pre-Election
- ✔ 11 Day Pre-Election
- ✔ 10 Day Post Election for Primary Elections or
  27 Day Post Election for General or Special Elections.

All candidates and or their committees must file the three election reports for all elections in which the candidate appears in the ballot. This is also applicable when an "opportunity to ballot" petition has been filed for a primary election. PAC's and Party Committees that support candidates or ballot proposal in any election must file the three election reports.

All reports cover a specific period. The period covered is always the day after the cut-off date from the previous report to the cut-off date for the current report. The cut-off date is always 4 days before the filing date.

A disclosure report, by paper or diskette, is deemed properly filed when sent by certified mail, within the prescribed time. Reports filed by e-mail with the State Board of Elections must be filed within the prescribed time. Please check the web site to assure the report was received.

A candidate that has no committee and does not carry over assets or liabilities from a prior election will file the 32 Day Pre-Election report as the first report regardless of when campaigning began. Candidates running their own campaigns must file the appropriate 3 election reports. If the Post Election report shows assets or liabilities remaining, the candidate must continue to file periodic reports until there are no assets or liabilities, at which point a termination report may be filed.

A committee must file a report on the first reporting period following its filing of the Designation of Treasurer and Depository Statement: For example, if a new committee forms in March, the first report is the July Periodic.

A Constituted or Party committee that has set up a separate housekeeping account must file a housekeeping report only twice each year, on January 15 and July 15.

A committee must continue to file periodic reports until it can terminate, i.e.,when it has no assets or liabilities.

If a candidate raises or spends money in an attempt to be on a ballot, but does not appear on the ballot, all receipts and disbursements in connection with that attempt must be disclosed in the next periodic report. The candidate must then continue to file until they complete the termination procedure as outlined on Page 9- Termination of Filing Obligation.

IV. Where are Reports and Statements filed?

Statements and Reports for candidates, and for committees supporting or opposing candidates for the following offices are filed at the State Board of Elections:

Governor, Lt. Governor, Comptroller, Attorney General, State Senate, State Assembly, and State Supreme Court Justice.

Statements and Reports for all other offices are filed at the appropriate county board of elections. Reports and Statements for village offices are filed with the village clerk, unless the county board of elections has been designated by the village to run the election.

The New York State Election Law has been amended effective January 1, 2006 to require candidates and committees for local elections who file with a county board of elections or with NYC Board of Elections, that raise or expend or expect to raise or expend more than $1,000 in any calendar year, to file their campaign finance statements in electronic format with the New York State Board of Elections and to continue to file on paper format or electronic format with the county board of elections or with the NYC Board of Elections, as the case may be. The new law does not apply to candidates or committees that are required to make their filings with a village clerk. However, if the village election is conducted by the county, candidates/committees for such village offices must file with the county Board of Elections. If their receipts or expenditures exceed $1,000 or they expect that they will do so, then they must also register and file with the State Board of Elections.

Committees that are registered with the State Board of Elections must file their reports with that Board electronically, unless they are exempted from electronic reporting (see page 63 for exemption requirements and request form).

State filers may need to file copies of the same report in several locations, if supporting local candidates. Please attach a completed CF-01 cover page with an original signature on each copy. Electronic filers should file all reports with the State Board of Elections and then send printed copies to the local boards.

The mailing address is not imprinted on the forms because the State Board prints forms for all boards of elections in the state. You can visit our website at www.elections.state.ny.us for address and phone # information of all county boards of elections.

V. Termination of Filing Obligation

Termination ends the obligation to file. Termination requests are subject to review and approval by the Board of Elections for compliance with the applicable statutes, and are not completed until such approval is obtained.

Termination Report - must have an ending cash balance of zero and no outstanding loans or liabilities remaining. This report can be in conjunction with any post election report, or if filing itemized statements, either a periodic report or as an Off-Cycle* (Termination Report).

*An Off-Cycle report is defined as a report which does not correspond to any specific filing period. It should be used when filing a termination report outside of a regularly scheduled reporting period.

Verification Statement (CF-18)- all filers filing with the State Board of Elections electronically, must also submit this form on paper, when terminating, in addition to their final electronic report. This form must be completed in its entirety, with the type of report designated, as well as the "Termination Report" box checked. This statement requires an original signature.

Paper filers using form CF-01 must check the type of report being filed as well as the "Termination Report" box. If Off-Cycle, check the Off-Cycle box as well.

Note: Prior to filing a termination report, filers should check their records against their reports that are on file with the State Board on its website, to make sure that the ending balance will be zero in their termination report when they file it.

VI. Penalties

1. There are serious significant penalties and consequences for failing to file required Financial Disclosure Statements.

2. The maximum penalty for failing to file a statement is $500.00.

3. This penalty is recoverable in a judicial proceeding which seeks a money judgement brought by the County or State Board of Elections.

4. This penalty is applicable for each filing.

5. Treasurers: Penalties for a committee's failure to file are the personal responsibility of the treasurer. Judgements are obtained against the treasurer, not the committee.

6. Candidates: A form CF-16 must be filed by candidates with authorized committees unless they are raising or spending monies outside their committees, in which case, the candidates must file their own disclosure statements in addition to those of the committees. Such candidates will be subject to a penalty for failure to file the form CF-16 or their own disclosure statements as the case may be. This is even if their authorized committee has made its filings. In addition, the penalty is applicable to each filing period in which the candidate has not yet filed their CF-16 or disclosure statement as applicable.

Candidates who do not have an authorized committee and who fail to make their own required filings, will be subject to penalties for each filing that is not made.

Any person who willfully and knowingly violates the filing provisions or contribution limits may be guilty of a misdemeanor.

VII. Exceptions to filing requirements

The filing requirements **do not apply** to the following:

- ✔ Newspapers or other periodicals.

- ✔ Federal Candidates or Committees filing with the Federal Elections Commission. However, if contributions or expenditures to aide or take part in the election or defeat of a state or local candidate will exceed $1,000, then the committee is required to register and file as any other New York political committee. **Such committee is required to have a depository physically located in New York State, as is required of any other committee registered in New York State.**

- ✔ Candidates who do not receive or spend more than $50.00, including candidates for county committee and for delegate and alternate to a Judicial Convention. However, if you must inform the Board in writing that you are exempt.

- ✔ Any candidate in an uncontested primary. (Monies received or spent shall be disclosed in the first general election report filed.)

- ✔ Candidates/committees solely supporting one candidate for public office in towns, cities, or villages having a population under 10,000 where the candidate/committee does not raise or spend in excess of $1,000.

- ✔ A committee formed solely to support or oppose a ballot issue and that does not raise or spend over $100.

VIII. Duties of Treasurers/Treasurer Resignation

A. The treasurer must file the Committee Designation of Treasurer and Depository (CF-02) **prior to receiving or expending funds**. (See pages 20, 23 and 24)

B. Only the treasurer and the individuals so authorized by the CF-02 may sign checks drawn on the committee depository.

C. Treasurers (except for PACs, Party and Constituted Committees) must also file Committee Statement of Authorization or Non-Authorization by Candidate (CF-03). (See pages 21, 25 and 26.)

D. The treasurer is legally responsible for filing all committee reports. Treasurers filing with the State Board of Elections must file electronically, via diskette or e-mail, using the State Board's electronic filing software. Treasurers will be assigned a Filer ID# as well as a PIN when they register by filing the Committee Designation of Treasurer and Depository (CF-02). The PIN is the electronic signature of the treasurer for filing purposes. The PIN ensures that the report has been filed by the designated treasurer. As liability attaches to each filing, the treasurer should ensure that their PIN is kept and used securely.

Treasurers filing treasurer resignation, termination or no-activity reports must file a paper Verification Statement (CF-18) with an original signature (See page 62). Treasurers have the option of filing no-activity reports directly at the Board's website.

E. Receipts and disbursements in excess of $100.00 may not be in cash.

F. Treasurers (active, as well as those who have resigned), must keep detailed bound accounts of all receipts, transfers, loans, liabilities, contributions, and expenditures (including copies of reports filed) for a period of at least five years. Upon resignation, the resigning treasurer should turn over all accounts, checkbooks, and records to the new treasurer, and maintain a copy for themselves.

G. A treasurer wishing to resign must submit a letter of resignation to the appropriate board(s) of elections, together with a resignation report. Treasurers of an authorized committee must submit a copy of their letter of resignation to the candidate. Treasurers of other types of committees (e.g. Multi-Candidate Authorized or Unauthorized, PACs, Party and Constituted) must submit a copy of their letter of resignation to the appropriate management representative of the organization.

Treasurer Resignations will not be processed unless all requirements for resignation are met. This includes the filing of all delinquent reports. Treasurer resignation reports must include all transactions from the cut-off date of the last report filed up to the date of resignation and must be submitted within five days of the effective date of resignation. This report can be filed either in conjunction with: (1) any of the election reports, (2) a periodic report or (3) as an *Off-Cycle Treasurer Resignation Report.

*An Off-Cycle report is defined as a report which does not correspond to any specific filing period. It should be used when filing a treasurer resignation report outside of a regularly scheduled reporting period.

Verification Statement (CF-18) State filers filing electronically, must also submit this form on paper, in addition to the treasurer resignation report. This form must be completed in its entirety, with the type of report designated, and "Treasurer Resignation" box checked. If filing an *Off-Cycle report, only check "Treasurer Resignation Report" box.

Upon the effective date of resignation, or upon the death of the treasurer, no member of the committee may receive or expend funds until a new treasurer is chosen and an amended CF-02 Designation of Treasurer and Depository is filed.

The new treasurer must file an amended CF-02 and CF-03 within 2 days of any changes to any information contained therein.

Note: In accordance with Section 14-118 of the Election Law, treasurers (active, as well as those who have resigned) must maintain their records for a period of at least five years. Upon resignation, the resigning treasurer is expected to fully cooperate in the transition to the new treasurer. The resigning treasurer should turn over all accounts, checkbooks, and records to the new treasurer and maintain a copy for themselves.

H. Upon the effective date of resignation, or upon the death of the treasurer, no member of the committee may receive or expend funds until a new treasurer is chosen and an amended Designation of Treasurer and Depository (Form CF-02) is filed.

NOTE: The State Board of Elections will place a bank freeze on the account until a new treasurer is designated.

I. A treasurer must file an amended CF-02 and CF-03 as applicable within 2 days of any changes to any information contained therein.

IX. Miscellaneous Items

Attribution of Campaign Advertisements - New York State Election Law does not require the sponsor's or payor's name to be on any political advertisements ("Paid for By"). If the ad refers to a Federal candidate, the Federal Election Commission (FEC) may impose such a requirement. Federal Communications Commission rules, or Radio and TV stations themselves, may impose that requirement on Radio or TV advertisements.

Fundraisers - The price at which you sell a ticket to a campaign event is the amount that is reported as a contribution received. Expenses are not subtracted from the ticket price, in determining the amount of the contribution. If you purchase a ticket to a campaign event, the cost is reported as a political contribution to the sponsoring committee on Schedule F. If the payment is from a candidate committee to a Party committee, or vice-versa, it is a transfer rather than a contribution.

Solicitations - Section 6113 of the Internal Revenue Code requires all solicitations for political purposes to contain an express statement that political contributions are not tax deductible as charitable contributions.

Auctions - Items received for an auction must be reported as In-Kind contributions at fair market value. The entire amount received for an item will then be reported as a contribution on Schedule A, B or C.

Political Clubs - A political club, depending upon the nature of its activity may or may not be a political committee. (See page 1 for definition of political committee.) If a political club is a political committee, then it is not exempt from filing requirement.

Party Funds - Election Law Section 2-126 which prohibits the use of party funds in support of a candidate in a primary election, was found unconstitutional by state and federal courts. It is therefore invalid. As such, party funds may be used in a primary election.

Allocating Expenses - Party committees, constituted committees and authorized multi-candidate committees are required to allocate campaign expenses among the candidates they support. **(These amounts must be aggregated for the campaign cycle.)** Electronic Filers need to create and complete Schedule R. For additional information, please refer to page 61 of this Handbook.

Outstanding Liabilities - Whenever you have received goods or services for which you have not yet paid, there exists an outstanding liability. If you received the goods and services along with an invoice, then report the invoiced amount on Schedule N. If you received the goods or services and no invoice, then report an estimated amount on Schedule N.

Subcontractors - If you pay a person or entity, such as a consultant, to act on your behalf, and that entity subcontracts out for finished goods or services from a single subcontractor in an amount which exceeds either $10,000 in the case of a statewide race or $5,000 in the case of any other race, you must report that subcontract information on Schedule O. However, you may wait until the post election filing to report it.

INVESTMENTS/LOANS MADE

The following instructions describe the procedures to be followed when investing committee funds or making loans:

Investments - An investment occurs when you take cash from your checking account (depository) and place it in a potential income producing instrument. You will not show an investment as a disbursement of funds, nor should you show the return of principle as income. You will show interest or income earned as other receipts. Losses on investments will be shown as a campaign expense, citing the check number of the original investment. When you make an investment, you must disclose the details in an attachment filed with the report covering the period in which the investment was made. E-mail filers must provide details under separate cover.

Loans Made - As with an investment, we consider campaign funds loaned to another entity to still be an asset of your campaign.You will show interest income under other receipts and if the lendee defaults on all or any part of the loan, or if you forgive the loan or any part, that amount will be shown on Schedule F as a political contribution or other expense as the case may be. You must provide in an attachment, with the report covering the period in which the loan was made, the details of the loan, and the purpose of the loan. E-mail filers must provide details under separate cover. Therefore, you will not show the disbursement or receipt of the principal amount.

Remember, you may not convert campaign funds to a personal use. Investments or loans made must not be for personal gain.

X. Contribution and Receipt Limitations

What is a contributor? A contributor may be an individual, a corporation, another candidate's political committee, an unincorporated union or trade organization, a PAC or any other entity such as a League or association, or club. All contributors must abide by the recipient's limit.

A limited liability company is treated as an individual for limitation purposes. Contributions received from LLCs are reported on Schedule C .

Sole proprietors' contributions are from the owner and must be listed as such on Schedule A.

Partnership contributions are contributions from the partners individually, but they are not listed individually until the partnership contribution exceeds $2,500. Then complete Schedule O. Each individual partner's contributions, whether taken from the partnership account or from the partner's personal account, will count towards that partner's individual calendar year limit of $150,000.

Checks drawn on a joint account are assumed given by the signatory if no other information available.

The funds of a candidate and the spouse of the candidate spent on the campaign are not contributions and are not limited. They must be reported, however.

The New York State Election Law places aggregate calendar year limits on the amount of political contributions that can be made by **individuals** and **corporations** to New York State candidates and committees, as follows:

- An **individual** may contribute up to a total of **$150,000,** in the aggregate, in a calendar year.
- A **corporation** may contribute up to a total of **$5,000,** in the aggregate, in a calendar year.

Each affiliated or wholly-owned subsidiary corporation, if a separate legal entity, has its own limit.

No other type of contributor has an aggregate calendar year limit on its contributions.

Notwithstanding the above, no individual, corporation, or other contributor may give more to a candidate or a candidate's authorized political committee(s) than an amount determined under the law for the office sought by the candidate. This is called the **election limit**. This amount is the maximum that the candidate may receive from any one contributor during the campaign cycle for the particular election.

For some offices, the law requires a formula be used to determine the limit. In those cases, you should contact the board of elections where the candidate files their reports to find out the limits.

Each Primary, General or Special election campaign has its own limit. Therefore, contributors may give up to the limit for each election in which the candidate participates. Candidates and committee treasurers must ensure that the election limits are not exceeded and that those funds are spent only for the election to which they pertain unless they were surplus funds left over from a prior election.

The election limit for family members is an aggregate limit from all the candidate's family (defined as a child, parent, grandparent, brother and sister and the spouse's of those persons).

The following charts set forth the maximum election limits that may be received by a candidate for a particular office. Column A represents the amount that can be received from any non-family contributor and Column B represents the amount that can be received from the family.

		Column A	**Column B**
Office	**Election**	**Non-Family Limit**	**Family Limit**
Statewide Governor Lt. Gov. Comptroller Atty. Gen.	Primary	Total number of enrolled voters in the candidate's party in the state x $0.005.*	Total number of enrolled voters in the candidate's party in the state x $0.025.
	General	Any amount up to $37,800.	Total number of registered voters in the state x $0.025.
NYS Senate	Primary	$6,000	$0.25 x enrolled voters in candidate's district and party but at least $20,000, and no more than $100,000.
	General	$9,500	$0.25 x registered voters in district but at least $20,000, and no more than $100,000.
NYS Assembly	Primary	$3,800	$0.25 x enrolled voters in candidate's district & party but at least $12,500, and no more than $100,000.
	General	$3,800	$0.25 x registered voters in district but at least $12,500, and no more than $100,000.
NYC Offices of Mayor, Public Advocate, and Comptroller	Primary	Total number of enrolled voters in candidate's party in the city x $0.05*	$0.25 x enrolled voters in candidate's party in the city but at least $1,250, and no more than $100,000.
	General	Any amount up to $37,800.	$0.25 x registered voter in the city but at least $1,250, and no more than $100,000.

* The formula amount up to $18,100, but at least $6,000.
NOTE: Candidates opting into the NYC Public Financing program should check with that Public Finance Board for further limitations.

		Column A	Column B
Office	**Election**	**Non-Family Limit**	**Family Limit**
Other Public Offices	Primary	$0.05 x enrolled voters in candidate's party & district but at least $1,000, with a maximum of $50,000.	$0.25 x enrolled voters in candidate's party & district but at least $1,250, and no more than $100,000.
	General	$0.05 x registered voters in candidate's district but at least $1,000, with a maximum of $50,000.	$0.25 x registered voter in candidate's district but at least $1,250, and no more than $100,000.

The general election limit applies to Special elections as well.

Primary limits are only applicable to candidates that are in a contested primary. Candidates may receive a separate limit for every contested primary that they are in.

Please remember that these limits are for the entire election cycle. Generally, the Election Cycle is either two or four years. Where the limit exceeds $5,000.00, a corporation is still restricted to its limit of $5,000.00 in a calendar year. But, it may give during each year of the election up to the lesser of its or the candidate's limit.

The person making a contribution, as well as the person receiving it, are responsible to ensure that the limits are not exceeded.

✓ The contribution limit for family members is an aggregate limit from all the candidate's family members (defined as a child, parent, grandparent, brother and sister and the spouse's of those persons.)

✓ Ballot Issues - There are no limits on contributions for ballot issues.

✓ Party or constituted committees - these committees may receive no more than $94,200 from any one contributor in a calendar year and up to $5,000 from a corporation.

✓ Housekeeping - there are no limits on contributions to a Party or Constituted committee for Housekeeping expenses. Housekeeping contributions must be clearly designated as Housekeeping on the check.

Unless otherwise designated in writing, a contribution is deemed attributable to the very next election in which the candidate participates. Contributions allocated to prior campaigns (to pay outstanding debts) must remain within the limits applicable to that election.

XI. Committee Designation of Treasurer and Depository - CF-02

1. This statement must be filed prior to receiving or expending any funds, and within 5 days after the selection of the treasurer and depository. The depository must be authorized to do business in New York State and be physically located in New York State.

2. Information required:
   a) Committee Name.

   b) Committee Type.

   c) Treasurer name, addresses (residential and mailing), telephone numbers (residential and business/alternate) and e-mail address.

   d) Name and address of the depository.

   e) Name(s) of candidates supported or opposed (if applicable) including office, district, county and year of election. **Note: This section of the form is completed only by committees that will make direct expenditures, other than contributions, on behalf of or against a candidate(s).**

   f) Ballot proposals supported or opposed.

   g) Names and original signatures of other persons authorized to sign checks.

   h) Original signature of treasurer and date signed.

3. Any change in the information, other than the year of election, requires that an amended CF-02 be filed by the treasurer, within 2 days of the change.

4. In the case of a treasurer resignation, (please see pages 12 and 13) that treasurer's PIN will be invalidated. Upon receipt of an amended CF-02 naming a new treasurer, a new PIN will be issued to the new treasurer.

5. The CF-02 also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to supply this information.

XII. Committee Statement of Authorization/Non-Authorization by Candidates -CF-03

Only committees making direct expenditures on behalf of candidates must submit this statement. **PACs do not file this statement.**

1. This statement (if applicable) will be filed with the Committee Designation of Treasurer and Depository (CF-02).

2. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on the form changes, other than the year of election, you must file an amended statement.

3. Information required:

   a. Committee Name

   b. Section A: is to be used to list candidates in whose election the committee has been authorized to take part. When you list candidates in Section A, you are stating that the candidate authorized you to be one of their campaign committees for the election. This means that the candidate has affirmatively acknowledged that you will be raising and spending money on their behalf. In other words, the authorization is decided by the candidate. The mere fact that the candidate knows that you are conducting campaign activity on their behalf does not mean that you are an Authorized committee.

   c. Section B: is to be used to list candidates in whose election the committee is taking part without specific authorization from the candidates.

   d. This statement must be notarized and contain the original signature of the treasurer.

   e. This statement also provides for the voluntary submission of the Treasurer's Social Security number. There is no penalty for failure to provide this information.

XIII. Candidate Committee Authorization and Non-Expenditure Statement CF-16

1. This statement must be filed by a candidate who has authorized a committee to run their campaign **and** who will not raise or spend any monies except through the authorized committee.

   Note: Candidates with one or more authorized committees who also raise or spend monies on their own outside of their authorized committees do not file this statement. Instead, they must make all required financial disclosure filings. These filings would be in addition to their committee's making all required financial disclosure filings.

2. This statement is required to be filed prior to the first election in which the candidate participates and must be filed 32 days prior to the election date.

3. Provide the date of the election, the candidate's name, address, telephone number, office sought (Governor, Senator, etc), district # (e.g. 43rd Assembly), and party, if affiliated.

4. Provide the authorized committee's name and the name and address of the treasurer.

5. This statement must be notarized and contain an original signature.

6. This statement also provides for the voluntary submission of the Candidate's Social Security number. Disclosure is voluntary. There is no penalty for failure to do so.

7. An amended statement must be filed by the candidate, if any information other than the year of election changes.

XIV. Sample Forms

The sample forms with instructions as listed below, are contained in the six (6) pages that follow:

- Committee Designation of Treasurer and Depository (CF-02)
- Committee Statement of Authorization or Non-Authorization by Candidate(CF-03)
- Candidate Committee Authorization and Non-Expenditure Statement (CF-16)

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STATE OF NEW YORK
STATE BOARD OF ELECTIONS
COMMITTEE DESIGNATION OF TREASURER AND DEPOSITORY
Section 14-118 of the Election Law

(See instructions on reverse side)

THIS FORM MUST CONTAIN ORIGINAL SIGNATURES AND BE COMPLETED IN FULL.

New Registration [ ] For State Campaign [ ] ________________________

Amended Registration [ ] For Local Campaign* [ ]*County ________ Filer ID# (To be assigned)

A. NAME OF COMMITTEE: ____________________

B. COMMITTEE TYPE: (see reverse) ____________________

C. TREASURER:

Full Name ____________________

Res. Address ____________________

____________________ **Zip** __________

(Voluntary)
Soc. Sec. # ____/____/____ **E-mail Address** __________

Mailing Address ____________________

(If different) ____________________

____________________ **Zip** __________

Res. Tel. No. __________ **Bus./Alternate Tel. No.** __________

D. DEPOSITORY:

Name of Bank ____________________

Address ____________________

____

E. CANDIDATE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary)

	ELECTION YEAR	OFFICE/DISTRICT	FIRST/MIDDLE INITIAL/ LAST NAME OF CANDIDATE	SUPPORT/OPPOSE
1.				
2.				
3.				

F. BALLOT ISSUE(S) TO BE SUPPORTED OR OPPOSED: (Attach additional sheets if necessary) **SUPPORT/OPPOSE**

1. ____________________

2. ____________________

G. PERSON(S) OTHER THAN TREASURER AUTHORIZED TO SIGN CHECKS:
(Attach additional pages if necessary.)

Full Name 1. ____________________ 2. ____________________

~~Res. Address~~ ____________________ ____________________

____________________ **Zip** __________ ____________________ **Zip** __________

Signature ____________________ ____________________

H. **The above information is true to the best of my knowledge and belief**

____________________ ____________________

Date Treasurer's Signature **(must be original in blue or black ink.)**

CF-02 03/07

INSTRUCTIONS FOR COMPLETING FORM CF-02

(PLEASE PRINT OR TYPE IN BLACK INK)

This form must be filed by all political committees as defined in Section 14-118 of the Election Law. **It is due within five days after the choice of a treasurer and depository, and prior to receiving or expending any funds.** It must contain original signatures. Faxed, photocopied, or e-mailed forms/ signatures are not acceptable. Candidates themselves are not required to file this form.

Type of registration:

1. All new committees shall check the new registration box.

2. If any information provided on this form, as previously filed, changes, other than the year of election, the treasurer must file an amended registration statement completed in full within two days of any change of information. The amended registration box must be checked.

3. For State Campaigns - must be checked for committees that are supporting or opposing candidates for New York State Governor, Lt. Governor, Comptroller, Atty. General, Assembly, Senate and State Supreme Court.

   For Local Campaigns - must be checked for all other offices. List the county name for the local office sought.

Identification No.: This number will be assigned to the committee by the Board of Elections after the filing of the registration statement and should be used on all documents and correspondence.

Note: County Boards of Election may or may not use identification numbers. The number assigned by a county board may be different than the State Board number.

Item B: Committee Type: Select one of the following types: (Consult the Campaign Finance Glossary for definition)

1	Authorized single candidate committee*	**2**	PAC
3	Constituted County	**4**	Party County
3H	Constituted County Housekeeping	**4H**	Party County Housekeeping
5	Constituted State	**6**	Party State
5H	Constituted State Housekeeping	**6H**	Party State - Housekeeping
7	Duly Constituted Sub-Committee of a County Committee	**9**	Others (e.g. Multi-candidate comm. & Unauthorized committees
7H	Duly Constituted Sub-Committee of a County Committee - Housekeeping	**9B**	Ballot Issue

Note: For 7 and 7H, add T= Town, C=City, V=Village. For City of New York include Assembly District#. In addition, add H for Housekeeping. (e.g. 7T, 7C, 7V, 7C64 or 7HT, 7HC, 7HV, 7HC64)

* The candidate has affirmatively acknowledged that this committee will be raising and spending money on their behalf. (e.g. Friends of John Doe)

Note: A candidate may need to file a Candidate Committee Authorization and Non-Expenditure Statement (CF-16)(See page 21).

Item C: Social Security #. We are requesting your social security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

Item D: Only a banking organization authorized to do business and physically located in New York State may be designated a depository.

Item E: This section should only be completed by committees engaged in campaign activity in support of or in opposition to a candidate. It should not be completed by a committee that only makes contributions to candidates or their committees (e.g. PACs).

Note: In addition to the CF-02, the CF-03 Committee Statement of Authorization or Non-authorization by Candidates **must** be filed by this committee for all candidates listed in this section.

STATE OF NEW YORK
STATE BOARD OF ELECTIONS

COMMITTEE STATEMENT OF AUTHORIZATION OR NON-AUTHORIZATION BY CANDIDATES

Section 14-112 of the Election Law

(See instructions on reverse side)

New Statement [ ]
Amended Statement [ ]

Committee Identification No.
(To be assigned by the Board)

NAME OF COMMITTEE: ______________________________

A. List in this Section those candidates who have **Authorized** the committee to aid or take part in their election (other than by making contributions). Provide name, office and district.

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1.			
2.			
3.			
4.			

B. List in this Section those candidates who have **not Authorized** the committee to aid or take part in their election (other than by making contributions).

DATE OF ELECTION	OFFICE & DISTRICT	LAST NAME	FIRST NAME
1.			
2.			
3.			
4.			

VERIFICATION STATEMENT BY TREASURER

I ______________________________ , being duly sworn, depose and say that the information in this statement is complete, true and correct.
(Print Full Name of Treasurer)

Sworn to before me this ______________ day

of ______________________________ , 20___

____
(Notary Public or Commissioner of Deeds)

____
Signature of Treasurer

____
Social Security # - (voluntary)

____
Number & Street Name

____
City, State & Zip Code

( ) ______________________________
Telephone Number

CF-03 3/07

INSTRUCTIONS FOR COMPLETING FORM CF-03

(Please print or type in black ink)

1. All committees that are taking part in the campaign of any candidate by making direct expenditures on their behalf must complete this form. If your committee only makes contributions to candidates or to candidate committees, then you DO NOT complete this form. (e.g. PACs)

2. A. When you list a candidate's name in Section A, you are stating that the candidate authorized you to be one of their campaign committees for the election. This means that the candidate has affirmatively acknowledged, that you will be raising and spending money on the candidate's behalf. In other words, **the Authorization is determined by the candidate.** The mere fact that the candidate knows that you are conducting campaign activity on the candidate's behalf does not mean that you are an Authorized committee.

   Note: The candidate may need to file the Candidate Committee Authorization and Non-Expenditure Statement (CF-16).

   B. If you are not authorized as above, but are making direct expenditures on behalf of candidate(s), list the candidate(s) name(s) in Section B.

3. This form is required to be filed prior to the first election to which it relates, and will remain in effect for each subsequent election. However, if any information provided on this form changes, other than the year of election, then you must file an amended statement.

4. If this form does not provide enough spaces for candidates, then use additional sheets.

5. This form must be filed together with the Committee Designation of Treasurer and Depository (CF-02).

6. This form must contain original signatures. Faxed, photocopied, or e-mailed forms/signatures are not acceptable. This form must also be notarized.

7. Social Security # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign finance disclosure requirements. Disclosure of this information is strictly voluntary.

STATE OF NEW YORK
STATE BOARD OF ELECTIONS

CANDIDATE COMMITTEE AUTHORIZATION AND NON-EXPENDITURE STATEMENT

Section 14-104 of the Election Law

(See instructions on reverse side)

New Statement [ ]
Amended Statement [ ]

This form must be filed no later than the 32nd Day prior to the first election to which it relates

Candidate's full name: ______________________________

Candidate's **Res. Address** ______________________________

______________________________ **Zip** ____________

Mailing Address ______________________________
____________ (If different)

____

______________________________ **Zip** ____________

Soc. Sec. # ____/____/____ **E-mail Address** ____________
____________ (Voluntary)

Telephone No. (   ) ____________ **Business #** (   ) ____________

Office ____________ **District** ____________

____________ **Party or Independent Body** ______________________________

I SWEAR OR AFFIRM THAT

1) I am a candidate for election to the office as stated above.

2) I have made no campaign expenditures relating to my candidacy nor do I intend to make any such expenditures except through the following authorized political committee which will file on my behalf:

Name of Committee: ______________________________

Treasurer's Name: ______________________________

______ **Residence Address:** ______________________________

______________________________ **Zip** ____________

Sworn to before me, this ________ day

of ____________________ , 20 ____

(Notary Public or Commissioner of Deeds) (Signature of Candidate)

CF-16 3/07

INSTRUCTIONS FOR COMPLETING FORM CF-16

(Please print or type in black ink)

This statement must be used by any candidate for public office or party position who has not expended funds and does not intend to expend funds in connection with his or her election **except** through a duly authorized political committee. The duly authorized political committee, in this instance, shall fulfill all of the campaign financial reporting requirements for the candidate.

If the committee named does not register (CF-02), the candidate will be responsible for reporting all financial activity for the campaign.

A candidate filing this statement, whose authorized committee has registered, shall not be required to file campaign financial reports (CF-01) unless the candidate shall make campaign related expenditures outside of his/her authorized committee(s).

Note: If you are a candidate with or without an authorized committee and you have made or plan on making any expenditures on your own, you do not file this form. Instead, you are required to file a CF-01 on the required filing dates. If you have an authorized committee, these filings would be in addition to those made by the committee.

This non-expenditure statement is required to be filed no later than the thirty-second day prior to the first election to which it relates, and will remain in effect for each subsequent election. However, an amended statement must be filed if any of the information changes other than the year of the election.

Candidates that are required to file this form must furnish the requested information for all authorized committees. This can be done by completing several forms or by attaching an addendum to this report.

Candidates for statewide office, Justice of the Supreme Court, State Senate and Member of the Assembly must file this form with the State Board of elections. All other candidates file this form with their county board of elections. They also file this form with the State Board of Elections if their authorized committee is also obligated to register and file with the State Board of Elections. Candidates for village office file with the village clerk, unless the county board is running the village election. If so, they file with the county board of elections.

SOCIAL SECURITY # - We are requesting your Social Security number to more precisely identify those persons who fail to comply with campaign financial disclosure requirements. Disclosure of this information is strictly voluntary.

IMPORTANT: The CF-03 Committee Statement of Authorization or Non-Authorization by Candidate must also be completed and filed by the committee identified on this CF-16, in order to complete the authorization process. This form must contain original signatures. Faxed, photocopied or e-mailed forms/signatures are not acceptable.

XV. Financial Disclosure Statement (CF-01) - Cover page

The following six (6) pages include detailed instructions and examples for completing a Financial Disclosure Statement cover page.

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)

IDENTIFICATION YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

Full name of filer (candidate or committee name)

Mailing address of filer - number and street

City State Zip

Check box if mailing address has changed since last report

☐ [file amended CF-02, CF-03, CF-16 as necessary]

Committee treasurer name (Last) (First)

Is this committee authorized by the candidate? ☐ Yes ☐ No

OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED

STATEMENT IS BEING FILED BY:

☐ Candidate ☐ Political Committee *
☐ Party Committee ☐ Constituted Committee
☐ Housekeeping Account (For Party/Constituted Committees only) ☐ PAC

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

**CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE

1. ☐ 32 day Pre Primary
2. ☐ 11 day Pre Primary
3. ☐ 10 day Post Primary***
4. ☐ 32 day Pre General
5. ☐ 11 day Pre General
6. ☐ 27 day Post General***
7. ☐ 32 day Pre Special
8. ☐ 11 day Pre Special
9. ☐ 27 day Post Special***
10. ☐ Periodic Jan. 15, 20____
11. ☐ Periodic July 15, 20____
12. ☐ 24 hour notice
13. ☐ Off-Cycle

*** Campaign material or a disclaimer must be submitted with Post Election statements.

☐ See Attached ☐ No Campaign Material Produced

☐ Termination Report (you can not terminate if any funds or debts remain)

☐ Amendment Report Date of original report ____ /_____/_____

☐ Treasurer Resignation Report: Copy of letter of resignation attached.

STATEMENT INVENTORY

		Number of Pages	Schedules Amended
Individuals/Partnership Contributions	(Sch. A)		
Corporate Contributions	(Sch. B)		
All Other Contributions	(Sch. C)		
In-Kind Contributions/Other Receipts	(Sch. D/E)		
Expenditure Payments	(Sch. F)		
Transfers In/Out	(Sch.G/H)		
Loans Received/Paid	(Sch. I/J)		
Liabilities/Loans Forgiven	(Sch. K)		
Expenditures Refunds/Contributions Refunded	(Sch.L/M)		
Outstanding Liabilities	(Sch. N)		
Partners/Subcontracts	(Sch. O)		
Housekeeping Receipts	(Sch. P)		
Housekeeping Expenses	(Sch. Q)		
Summary/Status Report			

IN-LIEU-OF STATEMENT

☐ I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you cannot file an In-Lieu-Of Statement for any future reports.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information and belief.

VERIFICATION

Name - Print or type Signature **(must be original in blue or black ink only.)**

Title Date Signed Phone number

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR FURTHER INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

CF-01 3/07

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

The **ELECTION YEAR** is the year of the Primary, General or Special Election to which the transactions in the report relate. This is the calendar year for PACs and Party committees.

The **STATEMENT NUMBER** relates to the numbers 1-12 under Type of Report Section (e.g., 4 = 32 day Pre General)

ELECTION YEAR	FILER ID	STATEMENT NUMBER FROM BELOW**	STATEMENT PERIOD DATES FROM / / TO / /	DATE FILED (FOR BOARD USE ONLY)

(This is the heading.)

The **FILER ID** is the identification number assigned to filers by the Board of Elections. Some boards of elections do not assign filer IDs.

The **STATEMENT PERIOD DATES** are the inclusive dates covered by this report. They must agree with the political calendar's filing cut-off dates.

TYPE OF REPORT

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

1. □ 32 day Pre Primary
2. □ 11 day Pre Primary
3. □ 10 day Post Primary***
4. □ 32 day Pre General
5. □ 11 day Pre General
6. □ 27 day Post General***
7. □ 32 day Pre Special
8. □ 11 day Pre Special
9. □ 27 day Post Special***
10. □ Periodic Jan. 15, 20____
11. □ Periodic July 15, 20____
12. □ 24 hour notice
13. □ Off-Cycle

***Campaign materials or a disclaimer must be submitted with Post Election statements.

□ See Attached □ No Campaign Materials Produced

Note: The information for the heading will be the same for each page of the report.

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

IDENTIFICATION YOU MUST TYPE OR PRINT LEGIBLY IN BLACK OR BLUE INK

A ①&②

____
Full name of filer (candidate or committee name)

B

____
Mailing address of filer - number and street

____
City State Zip

Check box if mailing address has changed since last report
☐ [file amended CF-02, CF-03, and CF-16 as necessary]

C

____
Committee treasurer name (Last) (First)

D

Is this committee authorized by the candidate? ☐ Yes ☐ No

E ①&②

____
OFFICE/DISTRICT/CANDIDATE BEING SUPPORTED

A ① = If this report is being filed by a candidate and no committee exists, provide the candidate's name.

A ② = If this report is being filed by or on behalf of a treasurer of a committee, provide the committee's name.

B = Mailing address of candidate if A ① or treasurer if A ②.

C = Printed name of treasurer if A ②.

D = If this is a committee which makes campaign expenditures other than contributions, is it authorized by the candidate?

E ① = For committees which are supporting only 1 candidate through campaign expenditures provide the office, district, and name of candidate.

E ② = If the report is filed for a candidate by the candidate [A①- provide office and district only].

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

STATEMENT IS BEING FILED BY:

A

☐ Candidate ☐ Political Committee*

☐ Party Committee ☐ Constituted Committee

☐ Housekeeping Account ☐ PAC

(For Party/Constituted Committees Only)

* For Authorized or Unauthorized single or multi-candidate committee and for Ballot Issues.

TYPE OF REPORT

B

****CHECK ONE BOX AND INDICATE STATEMENT NUMBER ABOVE**

1. ☐ 32 day Pre Primary
2. ☐ 11 day Pre Primary
3. ☐ 10 day Post Primary***
4. ☐ 32 day Pre General
5. ☐ 11 day Pre General
6. ☐ 27 day Post General***
7. ☐ 32 day Pre Special
8. ☐ 11 day Pre Special
9. ☐ 27 day Post Special***
10. ☐ Periodic Jan. 15, 20____
11. ☐ Periodic July 15, 20____
12. ☐ 24 hour notice
13. ☐ Off-Cycle

C

***Campaign material or a disclaimer must be submitted with Post Election statements.

☐ See Attached ☐ No Campaign Materials Produced

D

☐ Termination Report (you can not terminate if any funds or debts remain)

☐ Amendment Report Date of original report ____ /_____/_____

☐ Treasurer Resignation Report: Copy of letter of resignation attached.

A = Check the appropriate box for the type of entity filing the report.

B = Check the box next to the report being filed and place that number in the heading.

C = If campaign material was purchased (Palm cards, buttons, scripts of radio or TV ads, etc.) copies must be submitted with Post Election Reports. Otherwise, submit a disclaimer (a signed and dated statement that there was no campaign material).

D = Any regularly scheduled report may also be a Treasurer Resignation Report.

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

Itemized Filers

STATEMENT INVENTORY

		NUMBER OF PAGES	SCHEDULES AMENDED
INDIVIDUAL/PARTNERSHIP CONTRIBUTIONS	(SCH. A)		
CORPORATE CONTRIBUTIONS	(SCH. B)		
ALL OTHER CONTRIBUTIONS	(SCH. C)		
IN-KIND CONTRIBUTIONS/OTHER RECEIPTS	(SCH.D/E)		
EXPENDITURE PAYMENTS	(SCH. F)		
TRANSFERS IN/OUT	(SCH.G/H)		
LOANS RECEIVED/PAID	(SCH. I/J)		
LIABILITIES/LOANS FORGIVEN	(SCH. K)		
EXPENDITURE REFUNDS/CONTRIBUTIONS REFUNDED	(SCH. L/M)		
OUTSTANDING LIABILITIES/LOANS	(SCH. N)		
PARTNERS/SUBCONTRACTS	(SCH.O)		
HOUSEKEEPING RECEIPTS	(SCH. P)		
HOUSEKEEPING EXPENSES	(SCH.Q)		
SUMMARY STATUS REPORT			

The cover page must always be submitted. The Summary and Status Pages must be submitted unless the In-Lieu-of Statement on the cover page is completed. Please indicate which schedules have been completed by placing the number of pages in the column next to the name of those schedules.

Note: You only need to submit those schedules that are required/necessary to report the types of transactions that occurred during the period. **Do not submit blank schedules or schedules that are not used.**

STATE OF NEW YORK
BOARD OF ELECTIONS DISCLOSURE STATEMENT ---- COVER PAGE

IN-LIEU-OF STATEMENT

☐ I state that I am a candidate or a treasurer of an authorized committee which supports only one candidate, and at the close of this reporting period neither the total receipts nor the total expenditures of this campaign have exceeded one thousand dollars.

Note: Once you file an itemized statement, you cannot file an In-Lieu-Of-Statement for any future reports.

1. If you qualify to file an In-Lieu-Of Statement, check the box and complete the verification section. You must not complete any other schedules.
2. You qualify to file an In-Lieu-Of Statement if you are a candidate and/or any authorized committee(s) solely supporting the candidate and if, at the close of the reporting period for which such statement would be required, neither the total receipts nor the total expenditures of the campaign have exceeded $1,000.
3. If you have previously filed an In-Lieu-Of Statement and find that you now exceed this threshold, you must file an itemized report covering all transactions since the beginning of the campaign. Once an itemized statement is required, you may not file an In-Lieu-Of statement for any future reporting.

VERIFICATION

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

VERIFICATION

Name - print or type

Signature **(must be original in blue or blank ink only.)**

Title

Date Phone Number

ANY FALSE INFORMATION IN THIS STATEMENT MAY BE A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR UP TO ONE YEAR IMPRISONMENT, PURSUANT TO SECTION 210.45 OF THE PENAL LAW. FOR INFORMATION, CONTACT THE NEW YORK STATE BOARD OF ELECTIONS OR YOUR COUNTY BOARD OF ELECTIONS.

FOR INFORMATION ON COMPLETING THIS FORM CALL 1-800-458-3453

MONETARY CONTRIBUTIONS/Individual & Partnerships Schedule A

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __OF__
DATE RECEIVED ❶	NAME ❸		CHECK# ❹	AMOUNT	PREV. AMT. ❺
	STREET	APT			
CODE: ❷	CITY-STATE	ZIP		$	$

TOTAL THIS PAGE	$ ❻

❼

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule A is used to report all monetary contributions from individuals, relatives and partnerships. Funds received from candidates and their spouses are also reported on this schedule.

Contributions of $99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule A. You must keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the $99.00 threshold is exceeded for a particular contributor, you must then itemize. When a partnership's total aggregate contributions exceed $2,500.00, you must also complete Schedule O.

❶ Provide the date the monetary contribution was received.

❷ CODE:

- CAN = CANDIDATE/CANDIDATE SPOUSE
- IND = INDIVIDUAL
- FAM = FAMILY MEMBER: SEE INSTRUCTIONS IN HANDBOOK
- PART = PARTNERSHIP

❸ Provide the complete name and address of the contributor.

❹ Provide the check number and amount.

❺ Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds $99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.

❻ Provide the total monetary contributions for each page.

❼ Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2a of the Summary Page.

MONETARY CONTRIBUTIONS/Corporate Schedule B

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __OF__
DATE RECEIVED ❶	NAME ❷ STREET APT CITY - STATE ZIP		CHECK# ❸	AMOUNT $	PREV. AMT. ❹ $
		TOTAL THIS PAGE		$ ❺	

❻

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule B is used to report all monetary contributions from corporations.

Contributions of $99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule B. You must keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the $99.00 threshold is exceeded for a particular contributor, you must then itemize.

❶ Provide the date the monetary contribution was received.

❷ Provide the complete name and address of contributor.

❸ Provide the check number and amount.

❹ Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds $99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.

❺ Provide the total monetary contributions for each page.

❻ Complete the summary section on the last page of this schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2b of the Summary Page.

MONETARY CONTRIBUTIONS/All Other   Schedule C

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /			PAGE __OF__
DATE RECEIVED ❶					
	NAME ❷		CHECK # ❸	AMOUNT	PREV. AMT. ❹
	STREET	APT			
	CITY-STATE	ZIP		$	$

TOTAL THIS PAGE	$ ❺

❻
Complete this summary on the last page of this schedule

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ **Schedule Total**	$

Schedule C is used to report all monetary contributions from other entities such as political committees, unions, associations, etc.

Contributions of $99.00 or less need not be itemized. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule C. You must, however, keep detailed records of all contributions (i.e., name of contributor, date received, and amount), regardless of the amount. At anytime the $99.00 threshold is exceeded for a particular contributor, you must then itemize.

❶ Provide the date the monetary contribution was received.

❷ Provide the complete name and mailing address of contributor.

❸ Provide the check number and amount.

❹ Provide the total of previous contributions from this contributor, received during the relevant time period. If the total exceeds $99, you must then itemize those contributions. For PACs and Party Committees, the relevant time period is the calendar year. For all other committees, the relevant time period is the Campaign Cycle. See page 59.

❺ Provide the total monetary contributions for each page.

❻ Complete the summary section on the last page of each schedule by listing the total of all pages in box 1, the total of unitemized receipts from your records in box 2, and the Schedule total in box 3. Forward the schedule total to line 2c of the Summary Page.

IN-KIND CONTRIBUTIONS Schedule D

<table>
<tr><td>ELECTION YEAR</td><td>FILER ID</td><td>STATEMENT PERIOD DATES
FROM / / TO / /</td><td></td><td>PAGE
__OF__</td></tr>
<tr><td rowspan="2">DATE RECEIVED
❶</td><td colspan="3">NAME ❸</td><td>TYPE CODE
❹</td></tr>
<tr><td colspan="3">STREET APT</td><td>$ ❺</td></tr>
<tr><td>CNTRB CODE:
❷</td><td colspan="3">CITY-STATE ZIP</td><td>DESCRIPTION
❻</td></tr>
<tr><td colspan="3" rowspan="4"></td><td>TOTAL THIS PAGE</td><td>$ ❼</td></tr>
<tr><td>① TOTAL ITEMIZED CONTRIBUTIONS</td><td>$ ❽</td></tr>
<tr><td>② TOTAL UNITEMIZED CONTRIBUTIONS</td><td>$ ❾</td></tr>
<tr><td>③ SCHEDULE TOTAL LAST PAGE ONLY</td><td>$ ❿</td></tr>
</table>

CONTRIBUTOR CODE:

CAN = CANDIDATE/CANDIDATE SPOUSE
FAM = FAMILY MEMBER (SEE INSTRUCTIONS)
CORP = CORPORATE
IND = INDIVIDUAL
PART = PARTNERSHIP
COMM = Committee
OTHER= Please explain
Note: " OTHER" is not available for electronic filers.

CONTRIBUTION TYPE CODE:

1 = SERVICES/FACILITIES PROVIDED
2 = PROPERTY GIVEN
3 = CAMPAIGN EXPENSES PAID

Schedule D is used to report all In-Kind Contributions which are classified as (1) services or facilities provided for your use, (2) property/equipment given to your campaign and (3) expenses which you incurred that were paid by someone else.

❶ Provide the date the monetary contribution was received.

❷ Provide the Contributor Code

❸ Provide complete name and address of contributor.

❹ Provide the Contribution Type Code. (1, 2 or 3)

❺ Provide the amount of the in-kind contribution.

❻ Provide a brief description of the in-kind contribution.

❼ Provide the page total.

❽ Provide the total itemized in-kind contributions for all pages.

❾ Provide the unitemized in-kind contributions from your records. These are in-kind contributions of $99.00 or less. They should be added together for the report period and listed as total unitemized contributions on the last page of Schedule D.

❿ Provide the schedule total of all itemized and unitemized in-kind contributions.

⓫ Forward the Schedule Total to Line 2d of the Summary Page.

NOTE: In-Kind contributions received by Party committees for Housekeeping are reported received on Schedule P and out on Schedule Q simultaneously with an explanation.

OTHER RECEIPTS Schedule E

DATE RECEIVED ❶	NAME ❷ STREET APT CITY-STATE ZIP	☐ INTEREST/DIVIDEND ☐ PROCEEDS SALE/LEASE ☐ OTHER -EXPLAIN ❸	RECEIPT AMOUNT $ ❹

TOTAL THIS PAGE	$ ❺
TOTAL ITEMIZED RECEIPTS	$ ❻
TOTAL UNITEMIZED RECEIPTS	$ ❼
SCHEDULE TOTAL LAST PAGE ONLY	$ ❽

Schedule E is used to report miscellaneous receipts such as interest received on a bank account or loan, dividends from investments, or proceeds from the sale or lease of campaign property or equipment.

❶ Provide the date received.

❷ Provide the name and complete address of the payor.

❸ Check the box indicating the type of receipt or provide a description for "other".

❹ Provide the amount received.

❺ Provide the page total.
(Complete the Summary Section items 6 through 8 on the last page of the Schedules)

❻ Provide the total itemized receipts from all pages.

❼ Provide the total unitemized receipts from your records.

❽ Provide the Schedule Total and forward to line 3a of the Summary Page.

EXPENDITURE/PAYMENTS Schedule F

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

DATE PAID ❶	NAME ❷	PURPOSE CODE ❸	EXPLAIN	AMT ❹
	STREET APT			
CHECK NO.	CITY-STATE ZIP			$

TOTAL THIS PAGE	$ ❺

Expenditure Purpose codes

CMAIL	Campaign Mailings	POLLS	Polling Costs
CONSL	Campaign Consultant*	POSTA	Postage
CONSV	Constituent Services	PRINT	Print Ads
CNTRB	Political Contributions	PROFL	Professional Services *
FUNDR	Fundraising	RADIO	Radio Ads
LITER	Campaign Literature	RENTO	Office Rent
OFFCE	Office Expenses	TVADS	Television Ads
OTHER	Other: Must provide explanation	VOTER	Voter Registration Materials or Services
PETIT	Petition Expenses	WAGES	Campaign Workers' Salaries
INT	Interest Expense		

*Sub Contractors must be further defined in Schedule O - See Instructions on Schedule O.

❻

Complete this summary on the last page of this schedule

① TOTAL ITEMIZED EXPENDITURES	$
② TOTAL UNITEMIZED EXPENDITURES	$
③ **Schedule Total**	$

Schedule F is used to report all campaign expenses and political contributions to other candidates and political committees that are <u>not</u> transfers. (See page 47.) You must provide the detail for each expenditure that exceeds $49.99.

❶ Provide the date paid and check number.

❷ Provide the complete name and address of payee.

❸ Provide the appropriate purpose code. When using code "other", provide an explanation.

❹ Provide the amount of each entry.

❺ Provide the total for this page.

❻ Total all pages of schedule F in Box 1 - total itemized expenditures. Place the total of all unitemized expenditures (from your records) in Box 2 - unitemized expenditure box. Add the itemized and unitemized amounts to arrive at the total expenditure amount, which is placed in Box 3. Forward Box 3 total to line 6a of the Summary Page.

EXPENDITURE/PAYMENTS Schedule F

ATTENTI0N CAMPAIGN FINANCIAL DISCLOSURE FILERS

During the course of committee/candidate financial disclosure statement reviews, the New York State Board of Elections sends numerous letters for clarification of Schedule F transactions. To help ensure that Schedule F is submitted completely and correctly, the Board has redefined the Schedule F codes and provided examples to illustrate correct usage of these codes and proper completion of Schedule F.

Schedule F is used to report all disbursements made in connection with a campaign, other than loan repayments, refunds of contributions and transfers out. The law requires, in addition to other information, that a clearly stated purpose be provided. For the purpose of saving space and to provide some uniformity, the State Board of Elections developed expenditure/payment codes to be used on Schedule F.

The codes listed on Schedule F are the ONLY ones to be used. Failure to provide a code will result in correspondence from this Board. Following are the codes authorized for use on Schedule F, the definition of the code, and examples of the expenses for which you would use a particular code.

Sometimes a particular expense may fit into more than one code. You should use the code most representative of the expense. For example: You purchase stamps for day to day correspondence, bills, etc. This would be listed as POSTA. However, when you purchase stamps for a mass mailing to voters or contributors, that would most properly be reported as CMAIL. You should list an item only under one code.

The following pages and examples will:

(1) review and further explain the proper codes to use when identifying a committee's expenses; and

(2) explain the proper reporting method for the reimbursement of individuals or the making of payments to credit card companies for campaign expenses.

EXPENDITURE/PAYMENTS Schedule F

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
		DO NOT report Transfers Out on this Schedule		
DATE PAID ❶	NAME ❷	PURPOSE CODE ❸	EXPLAIN	AMT PAID ❹
	STREET APT			
CHECK NO.	CITY-STATE ZIP			$
		TOTAL THIS PAGE	$ ❺	

EXPENDITURE PURPOSE CODES

CODE	DEFINITION	EXAMPLES ⌂
CMAIL:	Campaign Mailings	cost to produce mailing envelopes, typing, printing, design
CONSL:	Consultant Services	consultant's fees, subcontracts (see instructions for Schedule O)*
CONSV:	Constituent Services	district office renovations, supplies, telephones**
CNTRB:	Political Contributions	
FUNDR:	Fund raising:***	meals, entertainment, hall rental, tickets
LITER:	Campaign Literature	palm cards, flyers, brochures, lawn signs, letters, billboards, voter lists, printing, circulation costs
OFFCE:	Office Expenses	utilities, telephone, equipment, supplies, cleaning
OTHER:	Other	(must provide explanation, i.e., campaign van rental, campaign travel, tuxedo rental, reimbursements)
PETIT:	Petition Expenses	voter lists, printing, circulation costs,
INT:	Interest Expense	loan interest, late payment charges

CODE	DEFINITION	E XAMPLES ⌂
POLLS:	Polling Costs	pollster fee, telephones, voter lists
POSTA:	Postage	includes all mailing and delivery service production and placement expense paid directly by the candidate
PRINT:	Print Ads	
RADIO:	Radio Ads	
TV ADS:	Television Ads	
PROFL:	Professional Services*	accounting fees, legal fees, speech writing
RENTO:	Office Rent	
VOTER:	Voter Registration Materials	maps, printing, mailing costs or services
WAGES:	Campaign Workers' Salaries	

⌂ Including but not limited to items listed.
*Subcontractors must be further defined in Schedule O - See Instructions on Schedule O.

**CONSV can be used only by a political office holder to better serve your constituents or better serve your office.

***Expenses to conduct your own fund raiser are fund raising expenses. Purchasing tickets to another candidate's fund raiser is a political contribution and you would use the code CNTRB. For candidates, purchasing tickets to a state or county committee's fund raiser is a transfer-out on Schedule H.

You must provide the detail for each expenditure that exceeds $49.99.

❶ Provide the date paid and check number.

❷ Provide the complete name and address of payee.

❸ Provide the appropriate purpose code.
[When using code "other" provide an explanation]

❹ Provide the amount of each entry.

❺ Provide the total for this page.

❻ **Complete this summary on your last page only!**

① **TOTAL ITEMIZED EXPENDITURES**	**$**
② **TOTAL UNITEMIZED EXPENDITURES**	**$**
③ **Schedule Total**	**$**

❻ Total all pages of schedule F in Box 1 - total itemized.

Place the total of all unitemized expenditures (from your records) in Box 2 - unitemized expenditure box. Add the itemized and unitemized amounts to arrive at the total expenditure amount, which is placed in Box 3. Forward Box 3 total to line 6a of the Summary Page.

REIMBURSEMENTS TO INDIVIDUALS OR CREDIT CARDS:

A major problem that many filers encounter is how to correctly report a payment when it is to reimburse an individual for expenditures (s)he made to a vendor on behalf of the campaign. A similar problem occurs when payments are made for campaign expenses via credit card. **We expect that payments to persons are for personal services (wages, fees, and/or stipends for work they performed for the campaign)**. If you are reimbursing a person for non-personal services for something (s)he purchased for the campaign, from a vendor, then you must report the transaction as in the following example:

YOU SHOULD REPORT A REIMBURSEMENT TO A PERSON AS FOLLOWS:

FIRST ENTRY:

❶Date Paid	❷Payee	❸Purpose	❹Street	❺City	❻State	❼Zip	❽Check/Ref #	❾Amount Paid	❿Explanation
6/3/1999	John Doe	OTHER	123 5th Av	Troy	NY	12180	1248	$600	Reimbursement

DATE PAID	NAME / STREET / CITY-STATE	PURPOSE CODE	EXPLAIN	AMT. PAID
❶ **6/3/1999**	NAME **John Doe** ❷	**OTHER** ❸	**Reimbursement** ❿	❾
	❹ APT STREET **123 5th Avenue**			
CHECK NO. ❽ **1248**	CITY-STATE ❺ **Troy,** ❻ **NY** ZIP ❼ **12180**			**$ 600.00**

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded $49.99, for example:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref #	Explanation
5/5/1999	Print it	PETIT	24 Elm St	Cohoes	NY	12047	1248R	memo $240
5/19/1999	WTRY	RADIO	88th 4th St	Troy	NY	12183	1248R	memo $240
6/3/1999	Unitemized	OTHER					1248R	memo $120

DATE PAID	NAME / STREET / CITY-STATE	PURPOSE CODE	EXPLAIN	AMT PAID
5/5/1999	NAME **Print It**	**PETIT**	**Memo $240**	
	STREET **24 Elm St** **APT**			
CHECK NO. **1248R**	CITY-STATE **Cohoes** **NY** **ZIP** **12047**			$
5/19/1999	NAME **WTRY**	**RADIO**	**Memo $240**	
	STREET **88 4th St** APT			
CHECK NO. **1248R**	CITY-STATE **Troy** **NY** ZIP **12183**			$
6/3/1999	NAME **Unitemized**	**OTHER**	**Memo $120**	
	STREET			
CHECK NO. **1248R**	CITY-STATE ZIP			$

NOTE: In our example above, **on the subsequent entries,** you provided the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under $50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitemized. In the EXPLAIN column use the word memo with the unitemized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank.** In both examples when there are several unitemized payments use the date of the reimbursement for the date paid.

YOU SHOULD REPORT A REIMBURSEMENT FOR A CREDIT CARD AS FOLLOWS:

FIRST ENTRY:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref#	Amount Paid	Explanation
6/3/1999	GM Card	OTHER	75 Minot St	Albany	NY	12187	1312	$800.00	Reimbursement

DATE PAID **6/3/1999**	NAME **GM Card** STREET **75 Minot St**	PURPOSE **OTHER**	EXPLAIN	AMT
CHECK NO. **1312**	CITY-STATE **Albany NY** ZIP **12187**	**Reimbursement**		**$ 800.00**

SUBSEQUENT ENTRIES: You will now provide the vendor information for those individual expenditures included in the reimbursement which exceeded $49.99, for example:

Date	Payee	Purpose	Street	City	State	Zip	Check/Ref#	Amount Paid	Explanation
5/5/1999	Staples	OFFCE	RT#5	Albany	NY	12353	1312R		Memo $300.00
5/19/1999	Nusbaum's	LITER	847 2ND Ave	Troy	NY	12382	1312R		Memo $300.00
6/3/1999	Unitimized	OTHER					1312R		Memo $200.00

DATE PAID **5/5/1999**	NAME **Staples** STREET **Rt #5**	PURPOSE **OFFCE**	EXPLAIN	AMT PAID
CHECK NO. **1312R**	CITY-STATE **Albany NY** ZIP **12353**	**Memo $300**		$
DATE PAID **5/19/1999**	NAME **Nusbaum's** STREET **847 2nd Ave** APT	PURPOSE CODE **LITER**	EXPLAIN	AMT
CHECK NO. **1312R**	CITY-STATE **Troy NY** ZIP **12382**	**Memo $300**		$
DATE PAID **6/3/1999**	NAME **Unitemized** STREET APT	PURPOSE CODE **OTHER**	EXPLAIN	AMT
CHECK NO. **1312R**	CITY-STATE Zip	**memo $200**		$

NOTE: In our example above, **on the subsequent entries**, you provide the date the vendor was paid, the purpose code, the vendor name, an **R** after the check # in the CHECK NO. column, and the amount for each vendor with the word memo in front of it in the EXPLAIN column. For those items under $50.00, and not requiring itemization, you select under Purpose OTHER and under Payee write unitemized. In the EXPLAIN column use the word memo with the unitemized balance. The total of all memo amounts must equal the amount paid. **The amount paid column is blank**. In both examples when there are several unitemized payments, use the date of the reimbursement for the date paid.

Receipts from Party Committees and/or other committees authorized solely for this candidate

(TRANSFERS IN) Schedule G

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE ❶	NAME ❷ STREET APT		TRANSFER TYPE 1 ☐ ❸ 2 ☐	AMOUNT TRANSFERRED ❹ $
CHECK #	CITY-STATE ZIP			
			TOTAL THIS PAGE	$ ❺
			Schedule Total Last Page Only	$ ❻

TYPE 1 -Between a Party or Constituted committee and a candidate or a candidate's Authorized committee.

TYPE 2 - Between two Authorized committees solely supporting one candidate.

Schedule G is used to report **transfers in.** Transfer means the exchange of funds or anything of value between (i) a party or constituted committee and a candidate or any of his/her authorized committees, or (ii) two committees **solely** supporting the same candidate (including tickets to fundraisers).

❶ Provide the date received for Transfers In and the check number.

❷ Provide the complete name and address of Transferor.

❸ Check the appropriate box for the type of transfer.

❹ Provide the amount of the transfer.

❺ Provide the total transferred amount for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 3b of the Summary Page.

NOTE: Do not report funds received from independent committees or committees authorized by a different candidate as a transfer. These receipts must be reported as a contribution on Schedule C.

PACs (Political Action Committees) must **not** use this schedule. Any monies received by PACs must be reported on Schedule A, B, or C depending on the type of contributors.

Payments to Party Committees and/or other committees authorized solely for this candidate

(TRANSFERS OUT) Schedule H

DATE	NAME ❷		TRANSFER TYPE	AMOUNT TRANSFERRED
❶	STREET	APT	1 ☐ ❸	❹
CHECK #	CITY-STATE	ZIP	2 ☐	$
			TOTAL THIS PAGE	$ ❺
			SCHEDULE TOTAL Last Page Only	$ ❻

TYPE 1 -Between a Party or Constituted committee and a candidate or a candidate's Authorized committee.

TYPE 2 - Between two Authorized committees solely supporting one candidate.

Schedule H is used to report **transfers out**. Transfer means the exchange of funds or anything of value between (i) a party or constituted committee and a candidate **or** any of his/her authorized committees or (ii) two committees **solely** supporting the same candidate (including tickets to fundraisers).

❶ Provide the date paid for Transfers out and the check number.

❷ Provide the complete name and address of Transferee.

❸ Check the appropriate box for the type of transfer.

❹ Provide the amount of the transfer.

❺ Provide the transfer total for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward the Schedule Total amount to line 6c of the Summary Page.

NOTE: Do not report funds given or paid to independent committees or committees authorized by a different candidate as a transfer. Those must be reported as a payment on Schedule F.

PACs (Political Action Committees) must **not** use this schedule. Any monies given or paid for political purposes must be reported on Schedule F.

LOANS RECEIVED Schedule I

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
LOAN DATE ❶	LENDER NAME ❷			LOAN AMOUNT
	STREET APT			$ ❸
☐ CHECK IF BANK LOAN	CITY-STATE ZIP			

When submitting this schedule to the Board of Elections, **a copy of the evidence of indebtedness for each loan must be attached to the statement.**

TOTAL THIS PAGE	$ ❹
SCHEDULE TOTAL Last Page Only	$ ❺

Schedule I is used to report loans received during the reporting period. The evidence of indebtedness must include the name of the lender, their address, the amount of loan, any interest to be charged and the repayment schedule. If the loan was received from a lending institution, the evidence of indebtedness must include the name and address of any cosignor, obligor or any other person providing security for or otherwise guaranteeing the loan.

❶ Provide the date of the loan and indicate if a bank loan.

❷ Provide the complete name and address of the lender, guarantor, or co-signer.

❸ Provide the loan amount.

❹ Provide the loan amount page total.

❺ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 3c of the Summary Page.

Note: A loan made to a candidate or political committee, other than a constituted committee, by any person, firm, association or corporation **other than in the regular course of the lender's business** (i.e., Banks) shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by such person, firm, association or corporation.

A loan made to a candidate or political committee, other than a constituted committee, by any person, firm, association or corporation in the regular course of the lender's business shall be deemed, to the extent not repaid by the date of the primary, general or special election, as the case may be, a contribution by the obligor on the loan and by any other person endorsing, cosigning, guaranteeing, collateralizing or otherwise providing security for the loan.

However, any outstanding liability remains, and you must continue to report it on Schedule N until it is repaid or forgiven.

LOAN REPAYMENTS Schedule J

ORIGINAL LOAN DATE	LENDER NAME ❷		CHECK NO. ❸	AMOUNT
❶	STREET	APT		❹
	CITY-STATE	ZIP	DATE	$
			TOTAL THIS PAGE	$ ❺
			SCHEDULE TOTAL Last Page Only	$ ❻

S**chedule J is used to record the repayment of loans received.** Only repayments of principal are reported here. Interest payments are reported on Schedule F.

❶ Provide the original date of the loan.

❷ Provide the complete name and address of the lender. .

❸ Provide the check number and the date repaid.

❹ Provide the amount paid.

❺ Provide the loan repayment total for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6d of the Summary Page.

LIABILITIES /LOANS FORGIVEN Schedule K

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE ❶	VENDOR/LENDER ❷		❸ ☐ LIABILITY ☐ LOAN	AMOUNT FORGIVEN ❹
ORIGINAL DATE OF LIABILITY/LOAN	STREET	APT		
	CITY-STATE	ZIP		
			TOTAL THIS PAGE	$ ❺
			SCHEDULE TOTAL LAST PAGE	$ ❻

COPY OF EVIDENCE FROM VENDOR/LENDER INDICATING FORGIVENESS MUST BE ATTACHED

Schedule K is used to report that a creditor or a lender has forgiven an outstanding debt.

❶ Provide the date forgiven and the original date of debt.

❷ Provide the complete name and address of the creditor/lender.

❸ Check box for liability or loan forgiven.

❹ Provide the amount of the liability/loan forgiven.

❺ Provide the total amounts of liabilities and loans forgiven for this page.

❻ On the last page of this schedule, place the total of liabilities and loans forgiven from all pages in the Schedule Total Box.

EXPENDITURE REFUNDS Schedule L

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

DATE RECEIVED		ORIG. PAYMENT DATE
❶	NAME ❷	❸
	STREET APT	
	CITY-STATE ZIP	AMOUNT $

TOTAL THIS PAGE	$ ❹
SCHEDULE TOTAL LAST PAGE ONLY	$ ❺

Schedule L is used to report refunds of campaign expenses such as errors (overpayments), adjustments, return of deposits, etc..

❶ Provide the date received.

❷ Provide the complete name and address of the payor.

❸ Provide the date of original payment and the amount refunded.

❹ Provide the total amounts of expenditure refunds for this page.

❺ On the last page of this schedule, place the total of all pages in the Schedule Total Box. Forward the amount to 3d of the Summary Page.

CONTRIBUTIONS REFUNDED Schedule M

REFUND DATE	ORIG.DATE REC.	CONTRIBUTOR NAME ❸	AMOUNT REFUNDED ❹
❶	❷	STREET APT	$
		CITY-STATE ZIP	CHECK #

TOTAL THIS PAGE	$ ❺
SCHEDULE TOTAL Last Page Only	$ ❻

Schedule M is used to report the return of contributions you received to the person who made the contribution. You may not refund more than the amount contributed.

❶ Provide the date you refunded the money.

❷ Provide the date(s) it was received.

❸ Provide the complete name and address of the contributor.

❹ Provide the amount of the refund and the check number.

❺ Provide the total amount refunded for this page.

❻ On the last page of this schedule place the total of all pages in the Schedule Total Box. Forward this amount to line 6e of the Summary Page.

OUTSTANDING LIABILITIES/LOANS Schedule N

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __ OF__

DATE ❶	NAME ❷	Total Orig. Amt. [ ] Liability [ ] Loan $__________	Purpose Code ________ Explain: __________	Liability Amount Outstanding $__________	Loan Amount Outstanding
	STREET APT				
☐ CURRENT ☐ PRIOR	CITY-STATE ZIP	❸	❹	❺	❻

TOTAL THIS PAGE	❼	$
SCHEDULE TOTAL	❽	$

Purpose of Liability/Loan Codes

CMAIL	Campaign Mailings	POLLS	Polling Costs
CONSL	Campaign Consultant	POSTA	Postage
CONSV	Constituent Services	PRINT	Print Ads
FUNDR	Fund-raising	PROFL	Professional Services
LITER	Campaign Literature	RADIO	Radio Ads
LOAN	Loan	RENTO	Office Rent
OFFCE	Office Expenses	TVADS	Television Ads
OTHER	Other: Must provide explanation	VOTER	Voter Registration Materials or Services
PETIT	Petition Expenses	WAGES	Campaign Workers' Salaries

Schedule N is used to report outstanding liabilities for goods or services received, and outstanding loans received. Each report should include liabilities/loans that have not been paid or forgiven as of the cutoff date for the report.

❶ Provide the date of liability/loan and whether it was during the current report period or a prior report period.

❷ Provide the complete name and address of the vendor or lender.

❸ Provide the total amount of the original liability/loan.

❹ Indicate by using the appropriate code, the purpose. If using code 'other' , provide an explanation.

❺ Provide the amount of the liability still outstanding.

❻ Provide the amount of the loan still outstanding.

❼ Provide page totals for columns 5 & 6.

❽ Provide schedule totals for columns 5 & 6 on the last page of this schedule.

Forward the column 5, schedule liabilities total to line 9g of the Status of Campaign Expense section.

PARTNERS | SUBCONTRACTS Schedule O

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__

AMT. OF CONTRIBUTION ❶ $	**PARTNERSHIP NAME** ❷	**PAYEE NAME** ❶
DATE RECEIVED	STREET	STREET APT
	CITY-STATE ZIP	CITY - STATE ZIP

PARTNER NAME			**PROVIDER OF FINISHED GOODS/ SERVICES:**	
❸ LAST FIRST MI	AMOUNT ATTRIBUTED ❹ $	PREVIOUS AMOUNT $	NAME ❷	AMT ATTRIBUTED ❸ $
STREET APT			STREET APT	
CITY/STATE ZIP			CITY/STATE ZIP	❹ CODE

TOTAL AMOUNT ATTRIBUTED	A ❺	A
TOTAL AMOUNT UNITEMIZED	B ❻	B
TOTAL AMOUNT CONTRIBUTION	A+B $ ❼	A+B $

PLEASE USE "PURPOSE CODES" FOUND ON SCHEDULE F OR N

Schedule O is used to furnish additional information about partnership contributions or subcontractor payments.

PARTNERSHIPS - See Sch A instructions

❶ Provide the amount (and date) of the contribution as reported on Schedule A.

❷ Provide the partnership name and address.

❸ Whenever a partnership's contribution(s) exceed(s) $2500.00 to an election campaign, the names and addresses of the individual partners whose shares of the contribution exceed $99.00 must be provided along with the amount attributable to each partner.

❹ Provide the amount atttributed and any previous amounts.

❺ Provide the total of all attributable amounts.

❻ For all partners whose shares do not exceed $99.00 you will place the total of those shares in the unitemized box in the summary section.

❼ Total amount of contribution Box = total of boxes A and B.

SUBCONTRACTORS

❶ Provide the complete name and address of the person, entity, or consultant paid by the campaign.

❷ Provide the complete name and address of the sub-contractor.

❸ Provide the amount attributed.

❹ Provide the proper expenditure code as found in Schedule F or N.

NOTE: The above information is required for any subcontracted amount greater than $10,000 in the case of Statewide candidates and $5,000 for all other offices. This subcontractor information can be reported either on the report which lists the expenditure to the consultant or on the post-election report to which the transaction(s) relates.

*NONCAMPAIGN HOUSEKEEPING RECEIPTS Schedule P

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __OF__
DATE RECEIVED ❶	NAME ❸		AMOUNT	PREV. AMT.
Code: ❷	STREET APT		❹	❺
CHECK #	CITY-STATE ZIP		$	$
		❻ TOTAL THIS PAGE	$	

CODE:
IND = INDIVIDUAL
CORP = CORPORATION
PART = PARTNERSHIP: Partnerships which contribute over $2500.00 total, must be further defined in Schedule O.
COMM = COMMITTEE
OTHER = ANY OTHER ENTITY

❼
Complete this summary on your last page only!

① TOTAL ITEMIZED CONTRIBUTIONS	$
② TOTAL UNITEMIZED CONTRIBUTIONS	$
③ Schedule Total	❽ $

Schedule P is used by Party and Constituted Committees to report receipts associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3)

❶ Provide the date received.
❷ Indicate the type of contributor and the check #.
❸ Provide complete name and address of the contributor.
❹ Provide the amount for contributions received.
❺ List any previous contributions received during the calendar year.
❻ Provide total monetary contributions for each page.
❼ On the last page of this schedule, place the total of all itemized receipts in Box 1 of the Summary section. Place the total of all unitemized amounts** (from your records) in Box 2 of the Summary section.
❽ Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 3e of the Summary Page.

*** This schedule to be used ONLY by party or constituted committees.**

**** The threshold for itemizing is an aggregate over $99.00 for the calendar year.**

Note: Returned housekeeping receipts should be listed on this schedule, and as negative amounts.

*NON-CAMPAIGN HOUSEKEEPING EXPENSES Schedule Q

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		PAGE __ OF__

DATE PAID ❶	NAME ❷	PURPOSE CODE ❸	EXPLAIN	AMT PAID ❹
	STREET APT			
CHECK NO.	CITY-STATE ZIP			$
		TOTAL THIS PAGE		$ ❺

EXPENDITURE PURPOSE CODES (Use on Schedule Q only)

RENTO	Office rent
UTILS	Utilities
PAYRL	Payroll
POSTA	Postage
PROFL	Professional Services
OFEXP	Office Expenses
MAILS	Mailings
OTHER	Other: Provide Explanation
VOTER	Voter Registration Materials or Services

❻ **Complete this Summary on your last page only!**

① TOTAL ITEMIZED EXPENDITURES	$
② TOTAL UNITEMIZED EXPENDITURES **	$
③ Schedule Total	$ ❼

Schedule Q is used by Party and Constituted Committees to report expenses associated with maintaining a permanent Party Headquarters and staff and carrying on ordinary activities which are not for the express purpose of promoting the candidacy of specific candidates. See Election Law Section 14-124(3)

❶ Provide the date paid and check number.

❷ Provide the complete name and address of payee.

❸ Provide the appropriate purpose code. When using code "other" provide an explanation.

❹ Provide the amount of each entry.

❺ Provide the total of each page.

❻ Total all pages of Schedule Q in Box 1 - total itemized expenditures. Place the total of all unitemized expenditures* *(from your records) in Box 2 - unitemized expenditure box.

❼ Total of Box 1 and Box 2 amounts. Forward Box 3 total to line 6f of the Summary page.

*** This schedule to be used only by party or constituted committees.**

**** All individual expenditures under 50.00**

Note: Returned housekeeping expenditures should be listed on this schedule, and as negative amounts.

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		

SUMMARY OF RECEIPTS / EXPENDITURES

1. OPENING BALANCE - must be the same as line 7 of your previous report . . . . $__________

2. CONTRIBUTIONS

2a) SCHEDULE A - Individuals - total..................... $__________

2b) SCHEDULE B - Corporations - total.................. $__________

2c) SCHEDULE C - Other - total.............................. $__________

2d) SCHEDULE D - In-kind - total............................ $ __________

2e) Total Contributions (add 2a through 2d)...$__________

3. MISCELLANEOUS RECEIPTS

3a) SCHEDULE E - Other receipts - total.................$ __________

3b) SCHEDULE G - transfers in - total......................$ __________

3c) SCHEDULE I - loans received - total..................$ __________

3d) SCEDULE L - Expenditure refunds - total...........$ __________

3e) SCHEDULE P - Housekeeping receipts - total.....$ __________

3f) Total Miscellaneous Receipts (add 3a through 3e).................................$__________

4. TOTAL RECEIPTS THIS PERIOD (add 2e and 3f)...$__________

5. TOTAL (add line 1 and line 4)...$__________

6. EXPENSES

6a) Schedule F - Disbursements - total..........................$ __________

6b) Schedule D total..(offset).......................................$ __________

6c) Schedule H - Transfers out - total........................... $ __________

6d) Schedule J - Loans repaid - total.............................$ __________

6e) Schedule M - Contribution refunds - total.................$ __________

6f) Schedule Q - Housekeeping expenses - total...........$ __________

6g) TOTAL Expenses this period (add 6a through 6f)..$__________

7. BALANCE AT END OF PERIOD (subtract line 6g from line 5)..$__________

ELECTION YEAR	FILER ID	STATEMENT PERIOD DATES FROM / / TO / /		

STATUS REPORT

8. STATUS OF CONTRIBUTIONS

8a) Contributions received, from line 8e of your previous report *. . . . . $__________

8b) Contributions received this period, line 2e. . . . . $__________

8c) TOTAL, line 8a plus 8b.. . . . . $__________

8d) Contributions refunded, from this summary, line 6e. . . . . $__________

8e) TOTAL contributions to date (line 8c minus 8d).. . . . . $__________

*This figure will be 0 (zero) if this is the first report of a new campaign.

9. STATUS OF CAMPAIGN EXPENSES

9a) Campaign expenses paid, from line 9f of your previous report*. . . . . $__________

9b) Campaign expenses this period, line 6a. . . . . $__________

9c) In-Kind offset, Schedule D total. . . . . $__________

9d) TOTAL add lines 9a throug9c. . . . . $__________

9e) Refunds of campaign expenses, from this summary, line 3d.. . . . . $__________

9f) SUB-TOTAL campaign expenses to date (line 9d minus 9e). . . . . $__________

9g) Outstanding liabilities (Schedule N total, excluding loans). . . . . $__________

9h) Total Campaign Expenses to date (line 9f plus line 9g).. . . . . $__________

*This figure will be 0 (zero) if this is the first report of a new campaign.

9i) **EXPENSE ALLOCATION SECTION** (Schedule R of Electronic filing) (See instructions for 9i on page 60.)

Candidate name	Office/District	Election Year	$ Amount

TOTAL AMOUNT ALLOCATED (please use additional pages if necessary) . . . . $__________

10. STATUS OF LOANS MADE

10a) Loans made to date, from line 10f of your previous report.. . . . . $__________

10b) Loans made this period, from your records. . . . . $__________

10c) TOTAL, line 10a plus 10b.. . . . . $__________

10d) Amounts included in 10c above, which were repaid this period.. . . . . $__________

10e) Amounts included in 10c above, which were forgiven this period. . . . . $__________

10f) Balance of loans made to date (line 10c minus 10d and 10e). . . . . $__________

11. STATUS OF HOUSEKEEPING RECEIPTS

11a) Housekeeping receipts ONLY, from line 11c of your previous report. . . . . $__________

11b) Housekeeping receipts this period, from this summary, line 3e.. . . . . $__________

11c) TOTAL housekeeping receipts to date, (line 11a plus 11b). . . . . $__________

12. STATUS OF HOUSEKEEPING EXPENSES

12a) Housekeeping expenses ONLY, from line 12c of your previous report.. . . . . $__________

12b) Housekeeping expenses this period, from this summary, line 6f.. . . . . $__________

12c) TOTAL housekeeping expenses to date (line 12a plus 12b). . . . . $__________

Instructions for Summary and Status Page

A. Summary Page

After all detail schedules have been completed, you must then complete the summary. Each line on this summary will contain the total from the corresponding detail schedule in the report, except Line 6B.

Complete the heading of the Summary Page

Line 1 reflects your opening balance. This will be zero on the first report for a new candidate or committee. It will then be the ending balance on your previous report for any active filer.

Line 2a thru 2d will reflect any contributions from Schedules A through D of this report (2d, in-kind contribution total must be included on line 6b.)

Line 2e will be the total of 2a through 2d.

Line 3a through 3e will reflect other receipts from Schedules E, G, I, L or P, as appropriate.

Line 3f will be the total of lines 3a through 3e.

Line 4 will be the total of lines 2e and 3f.

Line 5 will be the total of lines 1 and 4.

Lines 6a through 6f will reflect the totals from the appropriate detail schedules.

Line 6a reflects the amount entered in Box 3, Schedule F.

Line 6b is an offset entry. (Place Schedule D total here)

Line 6c through 6f will reflect the totals from Schedules H, J, M or Q, as appropriate.

Line 6g will be the total of lines 6a through 6f.

Line 7 equals line 5 minus line 6g. This should never be negative.

B. Status Report - Paper Filers

Complete the heading of the Status Report

Each report filed during a campaign cycle should list those contributions received and campaign expenses incurred for a particular reporting period (lines 8a and 9a), as well as aggregate to date totals for either the calendar year or campaign cycle as described below.

The purpose of the Status of Contributions and Status of Campaign Expense schedules is to enable one to examine the last report filed and to be able to determine the cumulative, to date amounts of all contributions and expenses for the campaign cycle.

Campaign Cycle

The campaign cycle is the period between elections for a particular office wherein a candidate or committee raises or spends money for the next election to that office.

Contribution limits are imposed for the campaign cycle*.

Example: A State Senate election is held every two years and is therefore a two year campaign cycle. The Gubernatorial election is held every four years and is therefore a four year campaign cycle.

The campaign cycle generally begins in January following the last election for that office. The next July periodic report (covering the period from January 12 through July 11 in the year following the last election) will be the first report for the new campaign. On this report you would **not** carry forward the line 8a and line 9a amounts from prior reports.

Due to factors such as debt remaining from a prior campaign, or when a new candidate begins to seek office during the middle of the period, the first report for the campaign cycle may vary.

While contribution limits are imposed for the campaign cycle, please note the following:

Any funds that are received after an election and after the time when the funds of such candidate or committee exceed the debts of such candidate or committee must be deemed contributions to a future campaign and will be subject to the contribution limits of that future campaign.

Therefore, any contributions received after an election will apply to the contribution limits for the next campaign cycle, unless the candidate or committee's liabilities/loans incurred prior to the election exceed the cash balance on hand as of election day .

If you need help determining which is your first report please call 1-800-458-3453 or (518) 474-8200.

PACs and Party committees and the campaign cycle

Due to their nature and to the number of different elections in which PACs and Party committees are involved, these entities may be reporting activity for several cycles on any given report. Unless they submitted separate reports for each candidate supported, which would be unduly burdensome, it is difficult to complete the status schedules on a campaign cycle basis.

Therefore, these entities will complete the Status of Contribution schedules and the Status of Expense schedule (not required of PACs) on an annual basis starting with July as the first report and the January report as the final report of the annual basis.

Status of Contributions - This schedule will show all contributions received for the campaign less any contributions for the campaign that were refunded.

Line 8a is completed on your second through final reports for the campaign cycle (Calendar year for PACs and Party committees) by bringing forward the total from line 8e of your previous report.

Status of Campaign Expenses - This schedule will show all expenses paid for during the campaign, plus outstanding liabilities incurred for this campaign, less any refunds received that were previously expended for the current campaign.

Line 9a is completed on your second through final reports for the campaign cycle (Calendar year for Party committees) by bringing forward the total from line 9f of your previous report.

Line 9i Allocation Section - Party committees, constituted committees and authorized multi-candidate committees are required to allocate campaign expenses among the candidates they support according to the relative benefit each candidate received from the expenditures. **(These amounts are cumulative per candidate for the campaign cycle)** Paper filers must include this information where indicated on the Status Report. Electronic Filers must create and complete Schedule R.

Remember, candidates generally have either a two or four year campaign cycle.

When a committee spends its first dollar on a candidate for a particular election campaign, they list on this schedule the candidate's name, the office, the district or municipality, and the allocated amount spent for that candidate.

On each subsequent report, this information is carried forward. As the committee spends more on a candidate, the amount will be increased accordingly.

After having reported the total spent on a candidate for a particular campaign, you will no longer carry forward this information.

Status of Loans Made - This section shows the current amount of loans made outstanding and the loan activity for the period. ***You must maintain supporting documentation of any loans made including repayments and forgiveness.***

The Status of Housekeeping Receipts and The Status of Housekeeping Expenses aggregate these items for the calendar year. These are used only by party and constituted committees.

NEW YORK STATE BOARD OF ELECTIONS
VERIFICATION STATEMENT

IDENTIFICATION NO. **(Assigned by the Board)** [ ]

OFFICE & DISTRICT **(If applicable)** [ ] E.g., 12th S.D.

Report Period ________________________________

I, ____,

am the treasurer for the ____ **Committee**

OR

I, ____,

AM A CANDIDATE FOR PUBLIC OFFICE, AND I HAVE SUBMITTED HEREWITH ON COMPUTER DISKETTE, OR HAVE SUBMITTED VIA E-MAIL, THE COMMITTEE'S/CANDIDATE'S FINANCIAL DISCLOSURE STATEMENT FOR THE PERIOD INDICATED BELOW:

1. ☐ **32 Day Pre Primary**
2. ☐ **11 Day Pre Primary**
3. ☐ **10 Day Post Primary ***
4. ☐ **32 Day Pre General**
5. ☐ **11 Day Pre General**
6. ☐ **27 Day Post General ***
7. ☐ **32 Day Pre Special**
8. ☐ **11 Day Pre Special**
9. ☐ **27 Day Post Special ***
10. ☐ **Periodic Jan. 15, 20____**
11. ☐ **Periodic July 15, 20____**
12. ☐ **24 Hour Notice**
13. ☐ **Off-Cycle**

☐ Termination Report

☐ Treasurer Resignation Report
(Copy of letter of Resignation attached)

☐ Amended Report

☐ * Campaign material or a Disclaimer must be submitted with Post Election Reports

No-Activity: Be sure to check appropriate report period above.

☐ Although I am required to file a statement for the period indicated, there are no transactions to report, so I have not filed electronically via e-mail or diskette. Note: No-Activity reports may be filed via the Board's website. www.elections.state.ny.us

☐ See Attached ☐ No Campaign Materials Produced

I STATE THAT (i) THE INFORMATION CONTAINED IN THE ELECTRONICALLY FILED DISCLOSURE STATEMENT REFERENCED ABOVE IS IN ALL RESPECTS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF, OR (ii) I HAVE NO TRANSACTIONS TO REPORT FOR THIS PERIOD.

______________________________ Name - print or type

______________________________ Preparer's Signature

______________________________ Title

/ / Date Signed ( ) - - Phone Number

KNOWINGLY INCLUDING FALSE INFORMATION IN THE DISCLOSURE STATEMENT IDENTIFIED ABOVE OR ON THIS VERIFICATION STATEMENT CONSTITUTES A CLASS A MISDEMEANOR, PUNISHABLE BY A FINE AND/OR IMPRISONMENT. SEE PENAL LAW § 210.45

CF-18 3/07

New York State Board of Elections

APPLICATION FOR ELECTRONIC FILING EXEMPTION

(Applications should be received by the Board at least 30 days prior to the filing)

Treasurer/Candidate:__________________________________
(please print name)
Committee Name: ___________________________________

Address:____

____

_____________________________Zip____________

Telephone: (__ __ __)-__ __ __ - __ __ __ __**Ext.** __________

Identification No.
(assigned by the Board)

Office & District
(if applicable)

e.g., 12th S.D.

I ________________________, swear or affirm that the committee/candidate does not have **access to the technology** necessary to comply with the electronic filing requirements of Subdivision Nine-A of Section 3-102 of the Election Law **AND** that filing by such means would constitute a **substantial hardship** for such committee/candidate.

NOTE: For purposes of granting an exemption to the electronic financial disclosure requirements of Article 14 of the Election Law, the following definitions apply:

"Access to the technology" is defined as the ownership and/or the ability to access a computer with a windows-based operating system capable of complying with electronic filing requirements.

"Substantial hardship" is defined as the financial inability of the candidate/committee to purchase and/or acquire access to the technology necessary to comply with the electronic financial filing requirements.

Please explain the basis of your request for an exemption. (Additional pages may be attached, if needed)

I understand that the exemption is valid **until December 31st of the calendar year for which it is granted** and that I am obligated to inform the State Board of Elections of any change in circumstances which would disqualify the committee/candidate from the exemption for electronic filing. The Board may revoke the exemption at any time. I understand if the exemption is granted I am still obligated to file using the paper form.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

____ ______ /______ /______
Signature Date

For Board use only

The Application for the exemption is (check one): ☐Granted ☐DENIED** Date: ____/____/______
**(DENIED explanation) ____

By:____

CF-19 3/07

New York State Board of Elections

NOTICE OF INACTIVE STATUS
(CF-20)

Treasurer: ____
(please print name)
Committee Name: ______________________________________

Address:____

____

______________________________**Zip**_____________

Telephone: (______)-________-__________**Ext.**____________

Identification No.
(assigned by the Board)

Office & District
(if applicable)

e.g., 12th S.D.

The above-named committee will not support or has not supported, in any way, any candidate or political committee which is a participant in the year _____ Primary Elections and/or the year _____ General Elections.

I state that the information contained in this statement is in all respects true and complete to the best of my knowledge, information, and belief.

Knowingly including false information in this application constitutes a Class A Misdemeanor, punishable by a fine and/or imprisonment. See Penal Law § 210.45

____ ______ /______ /______
Signature Date

Instructions

1. The State Board of Elections assumes that all active committees are supporting candidates for election and therefore we will expect to receive election reports from them (3 Primary Election reports and/or 3 General Election reports),unless otherwise notified.

Note: If you are active only for the Primary Election, or only for the General Election, be sure to cross off the election that does not pertain to you on the form above. We will expect reports only for the specific election in which you took part.

2. Filing of this notice will serve as that notification.

3. This applies only to filers with the State Board of Elections.

4. You are, however, required to continue to make your Periodic filings in July and January.

CF-20 3/07

for more information, or to obtain
additional copies, write to us at

New York State Board of Elections
Campaign Finance Unit
40 Steuben Street
Albany, NY 12207

or call us at
1-(800) 458-3453

or visit our website
www.elections.state.ny.us

CF-17
03/07